Center for Army Leadership

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Commander's Handbook for Unit Leader Development

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The purpose of this Technical Report is to articulate conceptual foundations: the underlying theory, research, and best practice applications that support the Commander?s Handbook for Unit Leader Development. Thus, this report provides the scientific evidence, theory, and best practices that informed the content of the commander?s handbook. This technical report also serves as a resource in and of itself for those more broadly engaged in leader development across the Army ? be it research, teaching, staff, or operational practice. Beyond unit leader development, its discussion and references may find application towards doctrine/policy formation, curriculum development, self-development tools, job aides, or other on-the-job leader development interventions.

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Forward

The purpose of this Technical Report is to articulate conceptual foundations: the underlying theory, research, and best practice applications that support the Commander's Handbook for Unit Leader Development. Thus, this report provides the scientific evidence, theory, and best practices that informed the content of the commander's handbook. This technical report also serves as a resource in and of itself for those more broadly engaged in leader development across the Army – be it research, teaching, staff, or operational practice. Beyond unit leader development, its discussion and references may find application towards doctrine/policy formation, curriculum development, self-development tools, job aides, or other on-the-job leader development interventions.

Implicitly, the handbook employs adult learning theory to engage the reader and overcome potential obstacles to implementing unit leader development. Commanders are already highly taxed to attain and maintain overall unit readiness. For this reason, sections of the handbook are short and to the point. The commander is encouraged to assign responsibilities and delegate certain aspects of unit leader development. The handbook is also purposely descriptive rather than prescriptive. Every commander has valuable and unique experiences that should be reflected in their command's unit leader development. To facilitate the integration of unit leader experiences, the handbook solicits the input of the commander and provides ways in which s/he can leverage the experience of leaders throughout the command. Tactics, Techniques, and Procedures (TTPs) and application tools are included to translate concepts into action. In this way adult learning theory, research, and best practice is made integral to the commander's handbook for unit leader development.

I. INTRODUCTION

The need for a handbook for unit leader development is the result of several factors. Army leaders report that there is a great deal of variation in unit leader development (Schirmer & Cromley, 2006, November). In addition, the skills of leader development are not taught in the school house. Compounding these shortcomings is a deployment and mission emphasis that leaves little time for the development of individual leaders. As a result, what good unit leader development looks like is not being experienced or learned by a growing number of junior and mid grade officers. These present day and future commanders, then, do not possess an adequate set of experiences to inform them about effective unit leader development. This is not a new phenomenon for the Army. Even before the recent surge in deployments, leaders reported that unit efforts at leader development are not effective in a number of areas (Fallesen, Keller-Glaze, Aude, Mitchell, Horey, Gramlich, & Morath, 2005, p. 145). Yet recent survey results confirm the greatest contribution to leader development is operational assignments (Schirmer & Cromley, 2006, November). Thus the Army's greatest opportunity (the unit environment) for leader development is not being leveraged to its full potential.

Another motivation for the Commander's Handbook is that there is not an existing single resource dedicated to the Commander's implementation of unit leader development. Existing Army leadership doctrine provides some guidance on leader development, but its focus is more on leadership itself. Other guidance on leader development is dispersed across different doctrinal manuals, regulations, and publications. Information on what unit leader development looks like is typically passed on via ones collection of previous commander's memorandum or SOP for unit leader development. Thus, the present day unit commander has to collate information on their own or rely on what other commanders had written down or passed on informally. It should come as no surprise, then, that present day unit leader development is very much dependent on the individual commander – what activities they "pick and chose" depending on their own strengths and operational circumstances (Schirmer & Cromley, 2006, p. 7).

This handbook is also purposely designed to broaden a commander's perspective on the methods that influence leader's development in an organizational context. Theory, research, and best practice identify a wide-range of leader actions, unit activities, and organizational processes that influence when and how leader development occurs. This perspective may challenge a prevailing view that unit leader development consists primarily of scheduled professional development sessions. For others it will merely confirm what they have known and practiced all along. Armed with this broader perspective, the commander can orchestrate unit leader development in a way that takes advantage of the most effective and efficient methods known to science and practice. The expected outcomes are better performing units, leaders prepared for positions of greater responsibility, and the well-being needs for professional development being met.

II. METHOD

The content of the commander's handbook was developed from several sources. A review of leader development literature and research was conducted. Army doctrine, policy, pamphlets, and curriculum on leader development were consulted. Existing Army survey findings were consulted to identify practitioner perceptions of leader development practices. And finally, a series of focus groups were conducted to obtain the perspective of currently serving successful leaders. Current students at the Army War College and the Sergeants Major Academy participated in focus groups. Select interviews were conducted with students and leadership faculty of Intermediate Level Education (ILE) at Fort Leavenworth. The purpose of collecting focus group and interview data was not necessarily to provide definitive perspectives on Army leader development. The number of participants was too few to yield scientifically valid findings. The themes across this data, however, provided valuable insights into the unit leader development experiences of serving Army leaders. And when serving Army leaders remarks were consistent with research findings and best practice, they were applied to the commander's handbook. To identify themes, transcripts were read and content analyzed by four Ph.D. level research psychologists. The four separate lists of themes were consolidated into one list of themes (see Appendix A). Thus, the research team gathered relevant information on leader development from a wide variety of reliable and valid sources. A requirements document was subsequently developed which identified the most effective and efficient methods of leader development for a unit environment.

Principles of adult learning theory were then applied to create sections of the handbook which each consisted of: a short narrative that explained the method, a useful technique for its implementation (TTP - tactic, technique, or procedure), and an application tool to support its implementation. An appendix with blank application tools provides the commander with a means for repeat use and distribution throughout the command. A web-based version of the handbook provides for downloadable application forms. The design scheme enhances the handbook content through an Army color scheme and contemporary pictures of leaders and Soldiers. The overall intent is to make the *Commander's Handbook for Unit Leader Development* an engaging and quick read.

III. COMMANDER'S HANDBOOK CONTENT: CONCEPTUAL FOUNDATIONS

1. EFFECTIVE, EFFICIENT, and INSPIRED

This technical report is best read together with a copy of the commander's handbook itself. The technical report does not repeat the entire contents of the handbook, but merely provides supporting references and informed explanation for the validity of each method of leader development. The handbook's opening section introduces the methods of leader development that form the handbook's remaining content (effective methods). It then proceeds to the assignment of roles and responsibilities for unit leader development (efficient implementation). Inspired unit leader development encourages the commander to identify and communicate the purposes the Army sets forth for leader development, while recalling their personal experiences with it.

1.1   Effective Methods of Unit Leader Development

Each method of unit leader development will be addressed in more detail within its respective section of the technical report. For this introductory section prominent conceptual models of leader development are compared to the effective methods for unit leader development recommended in the subsequent sections throughout the commander's handbook. This comparison demonstrates the general validity of the approach to leader development put forth in this handbook.   Beyond a general level of validity, however, this handbook cannot lay claim to an empirically proven theory or model of leader development. As recent as 2004, Day, Zaccaro, and Halpin's chapter titled "Toward a Science of Leader Development" concluded that their goal was not to "provide a single, testable model of leader development (too premature) or even to outline some version of a grand unified theory of leader development (too presumptuous)" (p. 383). Their rationale for such statements was that the field of leader development, while long in history, is short on empirical evidence. Day et al. (2004) suggest that the lack of rigorous, scientifically controlled leader development studies of a longitudinal nature contributes to the immaturity of the field. The commander's handbook, appropriately, justifies its approach through a combination of theory, conceptual models, applied research, best practice, and serving Army leaders and successful commanders.

Klein and Zeigart (2004) propose a conceptual model of leader development that identifies organizational climate, individual differences, and work challenges, feedback, and instruction as "factors which may influence the extent to which and the pace at which leaders change over time (p. 359) (see Figure 1)." They further delineate organizational climate into a climate for leader development and a climate for learning.   The content of the *Set Conditions* section of this handbook acknowledges the role of social and organizational context (e.g. climate) in promoting or deterring leader development. Serving Army leaders, for example, cite the importance of the leader setting the example, foster a learning environment, and knowing the leaders within their command (Appendix

A). The *Provide Feedback*, *Integrate Learning*, and *Create a Legacy* sections speak to Klein & Zeigart's (2004) focus on work challenges, feedback, and instruction.
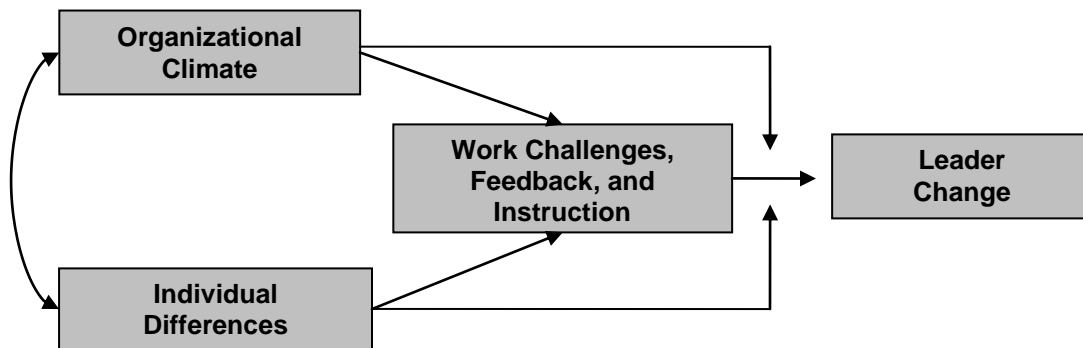

Figure 1. Leader development model (Klein and Zeigart, 2004).

Avolio's (2004) concept of self leadership development includes contextual factors as well (leadership climate, unit engagement, trigger events). Contextual factors are viewed as causal agents that interact with the individual's developmental readiness to create an "enhanced sense of awareness, which leads to behaviors or ways of thinking that are new, sustained over time, and become part of the individual's repertoire (p. 82) (see Figure 2)." The handbook's companion sections to Avolio's contextual factors are *Set Conditions* and *Create a Legacy*. Commander's handbook sections *Provide Feedback* and *Integrate Learning* also include interventions designed to enhance awareness and transition a leader to new ways of thinking and behaving - cornerstones of Avolio's concept of leader development.
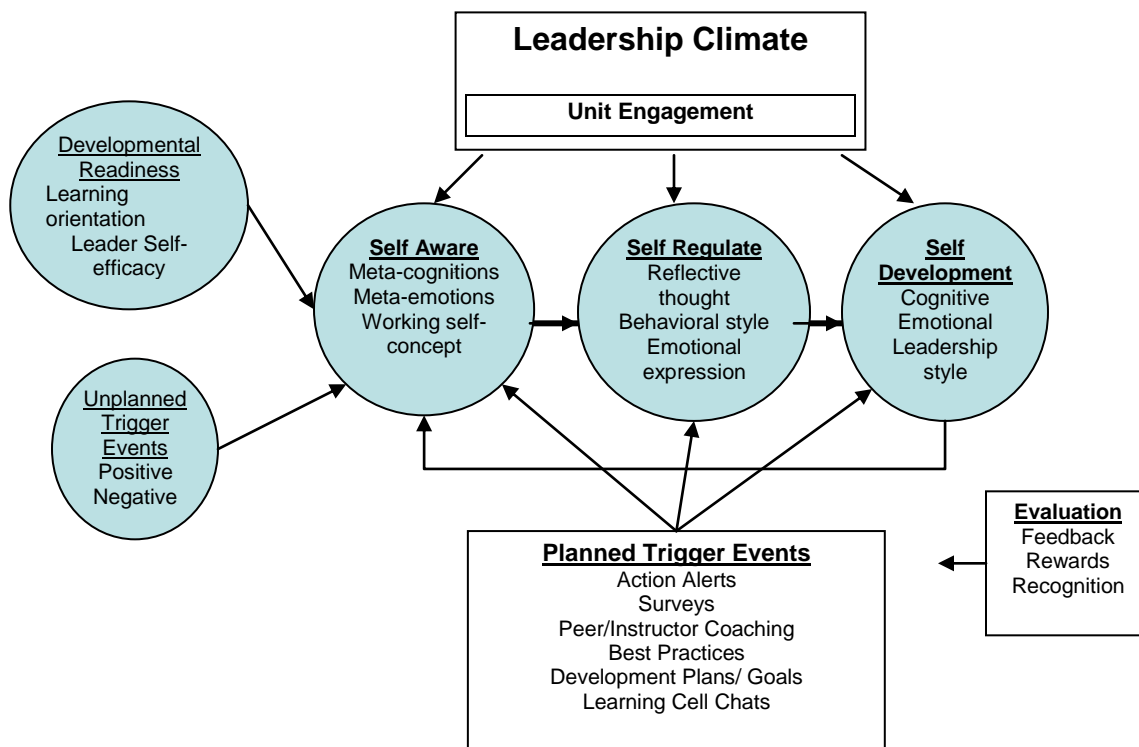

Figure 2. Full range model of leadership (Aviolo, 2004).

The Center for Creative Leadership (CCL) proposes a model of leader development grounded in their research and practice. Its three key processes of assessment, challenge, and support combine to make on-the-job experiences highly developmental (see Figure 3). Their assessment process focuses on the identification of gaps (via assessment) that serve to motivate leader change. The commander's handbook integrates tenets of CCL's assessment throughout its content. The section *Provide Feedback*, for example, addresses the assessment of leadership in the context of providing feedback. CCL's support process highlights the key role individuals (boss, peers, coaches for example) and organizational context, resources, and systems, play in leader development. The commander's handbook sections on *Set the Conditions*, *Integrate Learning,* and *Create a Legacy* address these aspects of CCL's support process.

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│  ┌──────────────┐      ┌──────────────┐      ┌──────────────┐     │
│  │  Assessment  │      │  Challenge   │      │   Support    │     │
│  └──────────────┘      └──────────────┘      └──────────────┘     │
│           ┌──────────────────────────────────────┐                │
│           │      Developmental experiences        │               │
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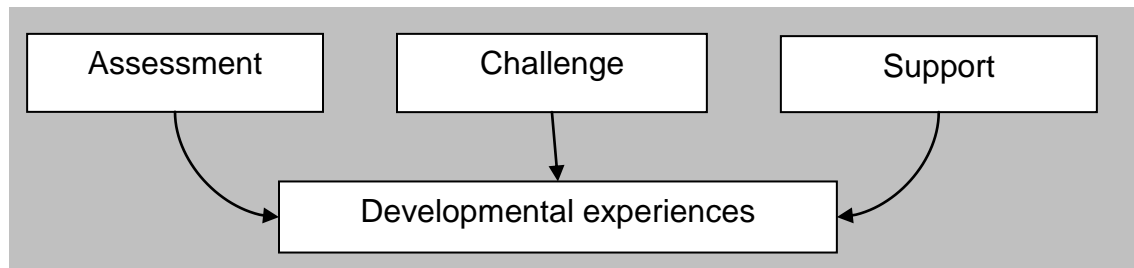
Figure 3. Elements that enhance developmental experiences (McCauley & Van Velsor, 2004, p. 4).

Challenge in CCL's model refers to developmental experiences (mostly on-the-job) that promote leader change and growth. The handbook's *Create a Legacy* section directly draws upon CCL's research on the purposeful identification of developmental experiences to promote leader development.   The CCL and commander's handbook approaches to leader development diverge, however, in the amount of emphasis given to different leader development processes. The commander's handbook puts more emphasis on commander and unit leader role modeling and the learning climate they establish (e.g. organizational context). Whereas CCL's processes for development put more emphasis on the ability of an individual to learn and their individual differences (e.g. personality, motivation, learning tactics) (see Figure 4). Generally speaking, however, the commander's handbook methods of leader development incorporate, to a lesser or greater degree, each process of the CCL model of leader development.
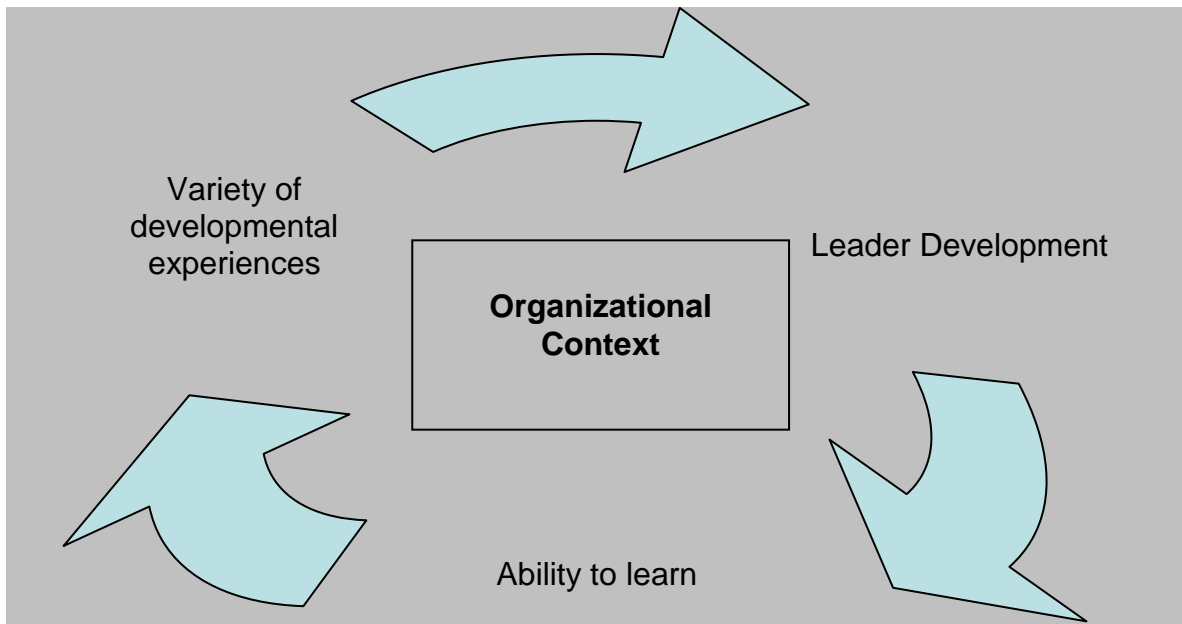
Figure 4. The development process (McCauley & Van Velsor, 2004, p. 4).

Preceding, yet related to, the CCL model is a body of research on experiential, or on-the-job development. McCall, Lombardo, and Morrison's (1988) book *The Lessons of Experience: How successful executives develop on the job* described research on this topic and proposed leader learning can be broken down into four broad categories (Blunt, 2000, May):

- Challenging job assignments – 42%
- Learning from others' examples – 22%
- Hardships and setbacks – 20%
- Other events – 16% (including training and education)

Best practice leader development forums have generalized the McCall et al. (1988) findings to the 70-20-10 rule. That is, roughly 70% of leader learning/development comes from job challenges and hardships; 20% comes from learning from the example of other leaders; and 10% from training and education (Eichinger, 2006, October). Survey responses from serving Army leaders generally confirm this hierarchy of effective methods of leader development. A 2006 Rand study reported that majors and senior captains ranked the experience of leading a unit (a job challenge) as the most effective leader development activity. The example of leader(s) was second and mentoring from a leader was third. Classroom lectures or seminars on leadership topics were ranked second to last (Schirmer & Crowley, 2006, November).

The commander's handbook draws on this McCall et al (1988) stream of research to posit that leader development in units is most effective when it consists of day to day leader to led interactions in the context of on-the-job experiences. *Set Conditions* emphasizes the importance of the commander's example and their getting to know the leaders in their unit – all to maximize learning on-the-job and by personal example.

Integrate Learning recognizes the importance of learning from good leader examples by promoting the use of the unit's role models. The application tools within *Integrate Learning* purposely promote leader-to-led interaction. *Create a Legacy* promotes creating on-the-job development experiences and moving leaders into successively challenging positions. Thus, two fundamental tenets of leader development theory, namely learning from job experiences and from other leaders' examples, are integral to the commander's handbook for unit leader development.

The content domain of the commander's handbook for unit leader development, then, is consistent with available research and practice in the embryonic field of leader development. The handbook may even be said to advance the aforementioned conceptual models of leader development. It does so by placing a greater emphasis than existing models on the organizational and commander context, via *Set the Conditions*. The conceptual models also generally confine learning from the example of other leaders to mentoring programs or executive-led training. The viewpoint of the commander's handbook, however, is that it is the broader social context of day-to-day leader to leader interactions is the best way to operationalize learning from example.

There is one aspect of current leader development research and practice that is not specifically addressed within the commander's handbook.   That part is of individual differences. Psychological research of leaders and their development have investigated factors such as individual personality, learning ability, and motivation. While the handbook generally recognizes the importance of individual differences, it does not make use of psychological assessments. Handbook topics such as *Know Your Subordinate Leaders* and *Apply Learning Principles* point out that knowing the uniqueness of each individual is integral to the commander's approach to leader development. Yet for most commanders it is neither pragmatic nor are they resourced to support the psychological assessment of leader personality, motivation, and/or learning ability. When the Army tests and finds suitable a suite of psychological instruments that support leader development, a section of the commander's handbook should then be added to address their use.

Thus, the opening section of the handbook introduces the reader to *Effective, Efficient, and Inspired* unit leader development. It concludes with a TTP and application designed to elicit from unit leaders their personal experiences with leader development. This application tool is designed to facilitate the commander gathering input on leader development from leaders within the command. By this means, the commander is also making use of organizational change processes to create ownership for unit leader development. John P. Kotter's book, *Leading Change*, outlines an eight-stage process for organizational change (Kotter, 1996). He stresses the importance of teamwork in creating a vision to direct the change and a strategy for implementing it. Thus the initial applications of the commanders handbook ask the commander to team with other unit leaders to identify effective unit leader development strategies. The next section of the handbook, which identifies unit roles and responsibilities for unit leader development, also serves the purpose of establishing a "guiding coalition" (Kotter's second stage). This will consist of the key leaders who are essential to implementing effective and

efficient unit leader development. Therefore, the opening section of the commander's handbook serves a twofold purpose. It introduces the content to come while providing the commander with tools for facilitating the organization change that may be needed to implement its methods.

1.2   Efficient Implementation of Unit Leader Development

Efficient implementation of unit leader development requires identifying and delegating command, staff, cohort, and individual leader responsibilities. Overall responsibility for unit leader development resides with the commander. Army regulations specifically state:

> The commander is responsible for establishing [the] leadership climate of the unit … commanders are also responsible for the professional development of their Soldiers. To this end, they encourage self-study, professional development, and continued growth of their subordinates' military careers (AR 600-20, 2007, p. 1).

Yet the commander cannot fulfill these responsibilities without delegating and involving leaders throughout the command. Army regulations specifically support this delegation and involvement as, "All leaders are responsible for: … developing their own and subordinate leaders' skills, knowledge, and attitudes" (AR 600-100, 2007, p. 2). Thus, the unit commander, in planning and implementing unit leader development, ought to be equipping each leader with the tools to develop their subordinate leaders. It is only in this way that leader development can be efficiently achieved down and across the echelons of subordinate units and leaders of a command.

Beyond holding each leader responsible for leader development, the commander needs to identify command and staff responsibilities for leader development. The challenge for the commander is that leader development does not fall neatly in one staff sections area of responsibility. Army regulations assign Army Staff (ARSTAF) proponency for leader development to operations (G-3/5/7). Yet the Deputy Chief of Staff (DCS), G-3, is also responsible to "work closely with the DCS, G–1, and the Center for Army Leadership to ensure G–1 leadership policy, doctrine, and programs and G–3/5/7 leader development policy, doctrine, and programs are consistent and complementary" (AR 600-100, 2007, p. 7). This Army Leader policy statement acknowledges the key role that personnel staff - through assignment, selection, and promotion policies - play in leader development. The responsibilities for leader development of both operations and personnel staffs persist from ARSTAF to the unit level. The commander will discover that the development of leaders in their unit is influenced by decisions, actions, and activities occurring across both the G/S-1 and G/S-3 staff sections. Commander confirmation and clarification of staff roles and responsibilities for unit leader development will help ensure its efficient and effective implementation.

Beyond staff section influences on leader development, the commander will find that the Army's cohort (officer, NCO, Warrant Officer, and Civilian) proponent schools

and cohort senior leaders assigned to the unit will influence leader development in some way. The unit's senior NCO (typically a Command Sergeant Major) will, for example, see him or herself as having a significant role in NCO unit leader development. The unit's senior Warrant officer and/or Civilian may or may not view leader development of their cohort as part of their job responsibilities. Leaders within the command will also have experience with previous commanders and staff that shape their understanding of who does what with respect to unit leader development. Thus, it behooves the commander to clarify and designate the roles and responsibilities of key formal and informal (e.g. cohort) leaders for unit leader development. Given the wide array of command and staff responsibilities for unit leader development, the commander might leverage the executive officer or deputy commander for a role in synchronizing unit leader development. This way the commander can focus on commander leader development actions and be assured that oversight for cross cohorts and staff coordination is being accomplished.

Commanders, their staffs, and senior cohort leaders higher up in the chain of command will also assume roles and responsibilities for leader development that will have an impact on the efficiency and effectiveness of the subordinate commander's unit leader development. Commanders should therefore build relationships with the various stakeholders and influencers of actions that will impact unit leader development. Staff sections and senior cohort leaders of subordinate commands should likewise establish effective relationships with their higher counterparts. For example, a commander must seek to build consensus and a common way of thinking about leader development up and down the chain of command. Reference the Commander's Handbook to influence upward and articulate a plan for unit leader development. Recognize that higher commanders and staffs will have differing perspectives and that their priorities may at times conflict with those of subordinate commands.

In summary, the commander's handbook section on efficient leader development calls attention to establishing roles and responsibilities for unit leader development. It also infers that successful implementation requires the commander to delegate downward and influence upward; creating a motivated team of leaders and staff who have a vested interest in the success of unit leader development. This "guiding coalition" will help the commander lead change toward effective, efficient, and inspired unit leader development (Kotter, 1996, p. 21).

1.3 Personal Inspiration for Unit Leader Development

Key to establishing a unit leader development program is identifying and communicating the purpose for it. Purpose provides focus, motivation, and helps unit leader development receive priority and compete for resources. Various Army publications speak to the purpose or reasons why leader development is important and what it accomplishes for the Army. *Battle Focused Training*, FM 7-1, the Army's doctrinal foundation for unit level training, identifies one purpose of unit leader development is to contribute to a trained and ready unit (pp. A-1 to A-2). Beyond this

immediate purpose, FM 7-1 also acknowledges that leader development is key to a leader's readiness for future positions of increased responsibility (p. A-2).

Leader Development for America's Army, DA PAM 350-58, describes the Army's approach to leader development. It is a big picture view of leader development that speaks to the overarching models and systems guiding its Army-wide implementation. Appropriately, this publication focuses on the purpose of leader development concerned with preparing leaders for their next step; the equipping of leaders through unit, self, and institutional development processes to meet the needs of the Army both now and in the future. A second purpose of unit leader development, then, is to provide trained and ready leaders for Army positions of increasing responsibility across a wider spectrum of challenge and opportunity.

A third, and recently reemphasized, purpose for leader development is for the well-being of the individual leader. Well-being is a holistic term the Army has coined to encompass the "taking care of people" side of command and leadership (AR 600-20, 2007, p. 18). It serves to reiterate the fundamental relationship between attending to an individual's needs and aspirations because this in turn maximizes the human dimension of Army readiness. A purpose for investing in unit leader development, then, is to maximize the potential of the individual; fulfill their expectations and aspirations; motivate them to a lifetime of Army service. This is expected to contribute to the attraction and retention of quality leaders and overall Army human dimension readiness.

The three Army purposes for leader development provide one source of inspiration for unit leader development. Yet each serving leader also has probably experienced both positive and negative leaders and leader development. Such personal experiences provide a source of motivation for commanders and their unit leaders to "do it right." Countless Army leaders have invested in the leaders within their units – providing a right experience or position to propel growth, lend insights into a leader's strengths and development needs, or just by sharing a personal leadership experience. Recalling and communicating these examples can be a powerful source of motivation for implementing unit leader development. That is what the TTP and application for the section, *Personal inspiration for unit leader development*, attempts to have commander's do – collect, share, and communicate the purpose and reasons for unit leader development. Successful leaders should develop other leaders by sharing teachable points of view and compelling stories that link their own leadership experience with the organization's goals (Cohen & Tichy, 1997). Communicating the overarching Army purposes, together with personal examples, will invoke in the unit leadership a sense of urgency and importance about unit leader development.

This application also helps facilitate the first stage Kotter (1996) stresses in his change model. If unit leaders are complacent about unit leader development, then they will not feel motivated or compelled to adopt the methods put forth in the commander's handbook. Frequent communication of the purpose for the implementation of unit leader development is a key part of organizational change. What a leader pays attention to is also one of the primary means by which leaders embed and reinforce organizational

culture (Schein, 1986, p. 224). Thus the leader's day to day communication and reminding of the purpose of unit leader development signals its importance and helps to instill the behaviors associated with it in the organizational culture.

In summary, the opening sections of the commander's handbook introduce its content, integrate the commander's and unit leader's previous experiences, and facilitate the organizational change needed to implement its methods. The sections of the technical report to follow address applicable theory, research, expert thought and application for each method of leader development within *Set the Conditions, Provide Feedback, Integrate Learning,* and *Create a Legacy.*

2. SET THE CONDITIONS

2.1   Model Leadership

For effective leader development to happen, the conditions, or context, must be conducive to development. Modeling leadership that sets the example is especially important. So much so that that role modeling is often synonymous with leading. This may be particularly true in the Army. Army leaders identified working alongside subordinates, not asking subordinates to do anything they were not willing to do, and "walking the talk" as important ways to influence subordinates (Horey, Morath, Keller-Glaze, & Fallesen, in preparation). Multi-source (360) feedback questions for the domain *is a role model* were also highly correlated with performance criterion (Aude, Hatfield, Leonard, Nicely, Riley, 2006, May). Focus group themes from commander's handbook research also emphasized the role of the leader in setting the example – especially with respect to professional development – is key to leaders within the unit engaging in leader development (Appendix A, 17). A Corporate Leadership Council survey of 270 organizations reported that:

> By far and away, the features that most differentiate
> top-tier leadership organizations are the degree to which senior
> executives "are role models for how to develop employees" and
> "express a belief in development as important." Importantly, this
> commitment is more important than any financial incentives and
> than the presence of any particular development program (Corporate Leadership
> Council, 2003a, p. 4).

Most recently, a Rand study on unit leader development found that, more than any other factor, variations in unit leader development (e.g. high versus low emphasis) were due to the attitude or approach of the commander (Schirmer & Crowley, 2006, November). Thus leadership, role modeling, example setting of the commander is critically important to unit leader development.

The concept of leading by example is supported by social learning theory (Bandura, 1977), which states that behaviors are learned by observing and emulating

salient role models. Empirical evidence suggests that employees do look at others in the organization as role models for behavior (O'Leary-Kelly, Griffen, & Glew, 1996; Robinson & O'Leary-Kelly, 1998). Bommer, Miles, and Grover (2003) found that an employee's performance of organizational citizenship behaviors (behaviors that are not required but benefit the organization) was influenced by the performance of these behaviors by others in their workgroup. Sims and Manz (1981) propose that leaders serve as important role models in organizations, such that leaders with greater status and power will be more likely to serve as role models. Role modeling on the part of the leader can lead to important outcomes for the organization. A study of health care administrators found that the leader behavior that was mostly strongly correlated with subordinates' productivity was setting the example (McNeese-Smith, 1996).

Acting with integrity and competence lends the leader credibility (Kouzes & Posner, 2002), something a leader must have if others are to follow. Dineen, Lewicki, and Tomlinson (2006) found that supervisor's behavioral integrity, operationalized as the alignment of words and actions, impacted subordinates' performance of desirable and undesirable behaviors, such that high behavioral integrity (i.e., close alignment of words and actions) led to increased performance of desirable behaviors on the part of subordinates. In addition, Brown, Trevino, and Harrison (2005) found that leaders' ethical behavior was related to employees' consideration behavior, honesty, and trust in the leader.

While integrity and competence are critical to overall leader role modeling, there are specific leader behaviors which leaders who grow other leaders emanate. Interviews with 21 award winning public service executives (with reputations for growing other leaders) revealed that they possessed:

- An abiding focus on the core purpose of public service
- A deep (and demonstrated) belief in the worth and capabilities of people
- Courage – a willingness to take personal and organizational risks
- Personal caring about people (Blunt, 2000, May).

Noel Tichy, University of Michigan professor, corporate leader development executive and consultant identified five fundamentals in leaders "with a proven track record of successfully growing leaders":

- Assume personal responsibility for developing other leaders.
- Have a 'teachable point of view" that they can articulate and show others how to make the organization work effectively, how to grow others, what behaviors are needed, and what values are essential.
- Embody their teachable point of view in "stories" about the past and stories about a visionary future.
- Generate positive energy and encourage other leaders while making tough decisions.

- Devote considerable time to developing other leaders and have approachs that normally involve vulnerability, openness, and a willingness to admit mistakes, thus serving as effective role models. (Blunt, 2000, May, p. 9).

Transcripts of interviews and focus groups with serving Army leaders (Aude, Keller-Glaze, & Riley, 2007) similarly identified leader characteristics associated with commanders they had known who had promoted unit leader development:

- Approachability
- Willing to admit mistakes
- Enjoys being a leader
- A communicator
- Personal definition of success includes the success of subordinates

The Center for Creative Leadership's tenet of support for leader development also identifies the leader's supervisor as an important source of encouragement for learning (McCauley et al, 2004). *Army Leadership*, FM 6-22, Leadership Requirements Model also includes competencies of:

- Prepares Self
- Develops Leaders
- Leads by Example
- Communicates
- Creates a Positive Environment

Thus, within the broad realm of leadership and leading there are leader behaviors and actions that are important to the setting of conditions for unit leader development to occur. Their presence or absence send a strong message as to whether or not the commander is supportive of unit leader development. Beyond the commander's personal example, the fostering of a learning environment also helps *Set the Conditions* for unit leader development.

2.2   Foster a Learning Environment

The Center for Creative Leadership's Handbook of Leadership Development states, "Organizations that are more supportive of development have a closely held belief that continuous learning and development of the staff are key factors in maintaining organizational success …" (McCauley & Van Velsor, 2004, p. 11). Thus, there is something beyond the individual leader's example that helps promote development. The opening discussion on models of leader development generally identified this factor as the organizational context. Literature and fields of study, however, more specifically identify it as an environment that promotes learning, creativity, innovation, and/or change. An environment that promotes learning comes partly from the personal example of the leader (e.g. they are themselves an innovator), but also because they take action to promote it in the workplace. Quinn's (1988) competing values framework, for example, identifies the leadership role of innovator as one who is creative, yet also "encourages

and facilitates change" (Hooijberg, Bullis & Hunt, 1999, p. 121). Gary Yukl, a noted authority on leadership further states,

> The motivation to acquire and use new skills is increased by an organizational culture that supports personal development and continuous learning (Tannenbaum & Yukl, 1992). … Effective leaders encourage and facilitate subordinate development, and they treat mistakes by subordinates as learning opportunities rather than as a personal failure by the subordinate (Yukl, 1999, p. 272).

A Klein and Ziegert (2004) review of the literature and research on climate for leader development and climate for learning summarizes their findings as:

> The more positive an organization's climate for leader development and its climate for learning, the more likely organizational leaders are to show positive changes in their leadership skills and knowledge over time (p. 375).

In researching successfully performing corporations, Kotter (1996) named one aspect of corporate culture as "adaptive" (p. 44). The behaviors associated with firms cited as prime examples of an adaptive culture include: "promoted innovation, risk taking, candid discussions, entrepreneurship, and leadership at multiple levels in the hierarchy" (p. 45)

The encouragement of learning, mistake making, risk taking, and effective decision-making are also key to the creativity process. Palus and Horth (2002) identify competencies such as "serious play" and "co-inquiry" that include behaviors like rule bending, having some fun, integrating a variety of stakeholders into problem solving, and engaging in some collaborative sensemaking (p. 7). Peter Senge (1990), father of the learning organization movement, singled out forgiveness as a new role organizational management must embrace, "… to encourage risk taking is to practice forgiveness. Real forgiveness includes "forgive" *and* "forget." (p. 300)

The behaviors needed to promote a learning environment, then, are relatively well known and articulated in literature by thought leaders and research. The making of the behaviors a norm or part of the organization's culture is a much more difficult task. One concept that has been successful at doing so is action learning. Action learning theory posits that learning is a function of knowledge and questioning to create insight (Revans, 1980). As CEO of General Electric, Jack Welch popularized action learning through a corporate wide initiative known as "Work-Out" (Slater, 1999). It was basically a method which sought to free management from the burden of the organizational bureaucracy and dysfunctional norms so that they could solve critical real world business problems with innovative solutions. In *The GE Way Fieldbook*, Slater identifies the key steps required to implement Work-Out as:

1. Choose issues to discuss.
2. Select a cross-functional team appropriate for the problem.
3. Choose a "champion" who will see any Work-Out recommendations through to implementation.

4. Let the team meet for 3 days (or 2 ½) drawing up recommendations to improve your company's processes.
5. Meet with managers who can say on the spot "yes," "no," or "I'll get on to that" with further study time specified) to each recommendation.
6. Hold more meetings as required to pursue the implantation of the recommendations.
7. Keep the process going, with these and other issues.

The entire process of Work-Out serves to bring those who are closest to the work into the decision making process, have them speak out to their bosses – offering up solutions to real and important business problems. And to have bosses listen and recognize the expertise and wisdom that resides right within their organization. Thus, Work-out lets leaders, their staff, and employees try out new behaviors that are consistent with a learning environment.

Most notably in the military and aerospace engineering, the term tiger team was adopted as an action learning application. Tiger teams are basically problem-solving teams that, not unlike Work-out, are put into action for the expressed purpose of discovering novel and quick solutions to pressing or crisis-like problems. Gene Kranz' assembling of such a team to problem solve the return of Apollo 13 is one such example (Wikipedia, 2007). Authors Fastabend and Simpson (2004) also endorse tiger teams as one means of creating a culture of innovation in the United States Army.

In summary, the establishment of a learning environment is an important aspect of setting the conditions for development to occur with each individual leader within the unit. It shapes their perception of whether or not the behaviors of taking risks and mistake making – an inherent part of leader development – will be supported by the Army more broadly, and the current unit commander specifically. Action learning applications (e.g. Work-Out, Tiger Teams) are one way commanders and their subordinate leaders can try out, practice, and create norms of behavior that are consistent with a learning environment.

2.3   Know Your Subordinate Leaders

Originating with various theoretical perspectives, leadership research has attempted to explain how a leader maintains and fosters positive relationships. Several theories address the concept of care as an important component. As early as the 1940s and 50s, Ohio State conducted leadership studies which split leader dimensions into initiating structure and consideration (Johns and Moser, 1989). This 2-factor model of leader behavior sought to simplify leader behavior to the fewest constructs capable of explaining the leadership behavior paradigm. Consideration was defined as, "the extent to which an individual is likely to have job relationships characterized by mutual trust, respect for subordinates' ideas, and consideration of their feelings" (Johns and Moser, 1989 pg. 3).

Research on adaptive leadership and contingency theories explored this 2-factor model providing evidence that one's ability to initiate structure as a leader as well as demonstrate consideration were important elements to leadership. Further study in these areas revealed that specific situations or environments may be more conducive to a leader who embodied either initiating structure, consideration, or a balance of both (Johns and Moser, 1989). Contingency theories later used the terms transactional and transformational leadership to illustrate the style by which leaders can influence their followers. The idea of showing consideration can be seen as closely related to transformational leader behavior. Although transformational leadership, consideration, and care are not sufficient for all situations (and sometimes a more transactional or balanced approach is necessary) the aforementioned research substantiates that care towards followers is an integral part of leadership.

One of the ways the Army implements the caring part of leadership is through its concept of well-being. Well-being is generally defined as:

> … the overarching command responsibility for "taking care of people." Applied at all levels of command, the principles of Army well-being form the basis upon which commanders and other leaders understand and support the individual aspirations of their people while focusing on mission accomplishment. Such leadership creates the environment necessary to maximize the human dimension of Army readiness (AR 600 – 20, 2007, p. 18).

Thus, in order to care about subordinate leaders, to understand their individual aspirations, leaders will need to get to know them. This involves interactions and communications that build trust and understanding. Integral to this occurring is the leader demonstrating behaviors that are supportive of leader development. Approachability, willingness to listen, and demonstrating empathy help leaders communicate effectively across power, rank, and position differences. Two-way communication provides a foundation upon which a commander gets to know their subordinate leaders (and visa versa). All of this builds trust, and trust is a key to leader to leader interaction that is at the foundation of effective methods of unit leader development.

On the opposite end of trust, mutual respect, and a genuine concern for well-being is a leader to subordinate relationship which borders on surveillance and monitoring. There is a body of knowledge and research on the topic of employee monitoring. It typically involves a monitoring of employee communications (e.g. e-mail, web use, phone conversations) to ensure that people are complying with established work protocols and maintaining security of company proprietary information. The courts have generally upheld employer surveillance that is job related, yet some aspects of personal privacy seem to be invaded in the course of doing so (Dell, K., & Kullen, L. (2006).

Relationship building between leader and subordinate within the military can also go beyond mere knowing to improper relationships and fraternization. AR 600-20, in addressing improper relationships between Soldiers of different ranks, says that

"commanders should seek to prevent inappropriate or unprofessional relationships through proper training and leadership by example." And that while both individuals in a relationship are responsible for maintaining its professionalism, "the senior member is generally in the best position to terminate or limit the extent of the relationship." (p. 25).

In summary, getting to know subordinate leaders is a key part of attending to their well-being and knowing their aspirations. A relationship built on trust, understanding, and knowledge of one another's perspectives under girds all unit leader development methods and is important to setting conditions for it to occur. One caveat is to recognize that there are boundaries to be observed in getting to know subordinate leaders. Actual monitoring of a subordinate leaders communications, if not job related, could result in the exposure of the private details of a person's life and the loss of trust and respect. And over familiarity can lead to an improper superior-subordinate relationship. Maintaining appropriate boundaries ensures the relationship maintained is professional - respecting the individual privacy of both commander and subordinate leader. A real relationship between leaders - characterized by trust, open communication, and mutual respect - is a key condition for unit leader development.

3.   Provide Feedback

London (2002) states, "feedback is central to leadership development. It is the key to leaders' self-insight" (p. 115). Through feedback, leaders become aware of the effects of their decisions and actions on their organizations and their relationships. Feedback stems from both objective (e.g. data from surveys, financial reports) and subjective (e.g. comments or ratings from supervisor) information of leader performance (London, 2002). Feedback can take the form of results of written assessments or impressions of those around the leader both within and across organizational levels. Programs that convey feedback include 360-assessments, coaching, and mentoring (Day & Lance, 2004, p. 51). An important note is that care should be taken when providing feedback, as leaders are sensitive to performance feedback because of its tie to their self-identity (London, 2002 p. 115).

3.1   Planned Observation

Army leaders highly value day-to-day feedback and have cited it as having a significant impact on their development (see Appendix A, 9). Today's younger leaders also desire constructive feedback more frequently than junior leaders in the past (Schirmer & Crowley, 2006, November). Yet effective feedback relies on accurate observation and assessment of the leader's behavior (Weitzel, 2000). Kerlinger (1986) describes two ways of sampling behavioral observations: event sampling and time sampling. Event sampling observes all of an event that encompasses an integral number of behaviors. Making a decision, resolving a conflict, and influencing a subordinate to take action are all occurrences conducive to event sampling. This is because observation needs to occur before, during, and after the event to obtain a complete understanding of it. Time sampling means identifying systematic or random intervals of time to observe someone or some thing. Time sampling can be more representative if the behaviors to be

observed occur frequently or on a routine basis. Yet it typically lacks context as a timed observation may not observe the causal and consequential factors of a particular behavior.

Event and time sampling are primarily used for research activities, yet they have application to the real world of behavioral observation of leadership. Event sampling would seem to be more appropriate for an actual leader who needs to be both efficient and effective in their observation of multiple subordinate leaders and their units. Such planned observation of training and/or real world operational events, where it is more probable a subordinate leader will display critical yet infrequent behaviors, improves the probability that the commander will observe a complete range of leader behaviors. The implication for practicing leaders, then, is to purposefully identify events where important leader behaviors are more likely to be observed. Plan to be at or attend to the actions leading up to the event, the event itself, and its outcomes. The one caveat to this approach is that leader-to-leader interaction should involve more than just showing up at key events. The leader needs to be out and about visiting units and observing leader behavior on a random basis. Not all key occurrences of leader behavior can be forecast in advance or associated with tangible events. Planned and random observations together, then, result in an accurate set of behavioral observations upon which feedback can be based.

3.2   Accurate Observation and Assessment

The Army has previously created training that taught leaders principles and application of leader observation, assessment, and feedback. Termed the Leader Development Program, it consisted of a series of training support packages (TSP), namely lesson plans, to teach these skills at various levels of Army institutional training and education (Leader Development Program, 1996). Within this training, the acronym START was employed to accurately observe leadership behaviors. START stands for:

- Situation
- Task – being performed
- Action (s) - of the leader
- Result - on individual(s), team, unit, mission
- Time – start/stop; span of time of the observation.

At the time of LDP's inception in the late 1990's, its focus was on improving counseling. START was envisioned as a means of recording an accurate observation that would be discussed at a later date and time than the original observation. Typically this would occur with the observed leader during a follow-up counseling session. START, then, was not designed for in-the-moment two-way communication, feedback, and improvement recommendations. For this reason the Commander's handbook adopted the acronym SOAR. SOAR stands for:

- Situation/Conditions – of the observation and assessment.
- Observation – of leader behavior/actions and impact on mission/Soldiers.

- Associate – the behavior with a doctrinal attribute/competency; Assess the level of proficiency.
- Reinforce – the behavior through praise or correction. Recommend action agreed upon to sustain or improve leader performance.

Thus SOAR provides a comprehensive sequence to accurately observe leader behavior, assess it, provide feedback, and make recommendations in a way that leads to action.

Leadership observation and assessment should include more than just the supervisor perspective. Observation, assessment, and feedback ought to be encouraged from peers, subordinates, and anyone else who is subject to the leaders influence. This type of feedback not only provides the leader with different perspectives, but also helps counter perception bias that occurs in everyone's observations. Hastorf and Cantril (1954) found that student body judgments to the observation of the exact same football game film differed substantially. Their research demonstrated that there are many perception-biasing factors at work in person observation and assessment. Heilman and Hornstein (1982) concur stating, "… what is self-evident to a manager may not be so to a subordinate, superior, or someone in a different function. Their view of the facts is biased much as the managers are" (p. 37) Research by van Hooft, van der Flier, and Meene (2006) confirmed previous study findings of low inter rater agreement among the differing rating groups (peer, subordinate, self, supervisor). They explain this lack of agreement as:

Different raters, from various hierarchical levels, provide different viewpoints of the ratee's performance. As Toegel and Conger (2003) note, differences between rating sources reflect legitimate differences in the perceptions of the ratee's various roles. In support of this idea, Scullen, Mount, and Goff (2000) found that an important proportion of the variance in supervisor and subordinate ratings *is perspective-related* (emphasis added), that is, unique to the rating source. Because of these unique perspectives, a high interrater agreement between sources should not be expected (Greguras & Robie, 1998). (p. 68).

Thus a single person's observation and assessment of leadership is part truth and part perception. And obtaining feedback from multiple sources can be expected to yield differing perceptions of the leader – according to their role of subordinate, peer, or supervisor.

Even though assessments from various perspectives differ, they can still help a leader better discern the truth. A leader can also focus their action plan to the specific source of feedback from whence it came. Assessments such as 360-degree feedback or multi-rater feedback have grown in popularity due to their ability to provide feedback from multiple perspectives. Through their use, a large amount of feedback from superiors, subordinates, peers, colleagues, and customers is consolidated into one report. This feedback includes multiple perspectives and can be a driving force for change and development. The results enable leaders to identify and focus on strengths, and also point out major flaws that can lead to derailment (Phillips & Schmidt, 2004). The best use of

360-degree feedback is for developmental purposes, rather than administrative purposes. A critical element to using 360 is creating and implementing development plans which are linked to individual and organizational goals. It is suggested that development plans consist of transformational activities, such as job assignments, ongoing feedback, and coaching relationships (Phillips & Schmidt, 2004).

3.3 Leadership Assessment

Of particular importance to all leader observation and assessment are the domain of behaviors upon which the observation and assessment is based. The Army's standard for leadership assessment is its Leadership Requirements Model (FM 6-22, 2006). It articulates the behaviors or leader actions that constitute what an Army leader is (attributes) and what an Army leader does (core leader competencies). The Leadership Requirements Model has been through a series of research-based studies that have demonstrated its reliability and validity. Its conceptualization began with the identification of future leader requirements (Horey, Fallesen, Morath, Cassella, Franks, & Smith, 2004). Actual validation was accomplished via Horey, Harvey, Curtin, Keller-Glaze, Morath, & Fallesen (2006, April). Without a consistent, specific, and accurate behavioral basis for assessment, feedback will tend to be vague interpretations or impressions of the leader's actions. Such feedback is known to be ineffective (Weitzel, 2000). Another tendency is to provide feedback merely on the performance outcome of the leader behavior on the mission and/or Soldiers. For example, "mission accomplished." This feedback does not tell the leader what it was about their leadership that contributed to or detracted from "mission accomplished." Thus their learning from the feedback will be incomplete. Behavioral feedback, for example, would sound like, "Your clear, two-way *communication*, evidenced in your presentation of the commander's intent; followed up by brief backs on its meaning, was a key factor in the unit's mission accomplishment." This kind of feedback more specifically identifies for the leader what it was about his/her leadership that contributed to the performance outcome.

3.4 Feedback and Counseling

Actual behavior change is generally the desired outcome of valid feedback. The Army's developmental counseling process is one way of translating feedback into changed behavior through the implementation of an individual development plan (FM 6-22, 2006). The Army's process is consistent with models of behavior change in the literature. One such four-step model is offered by Dalton and Hollenbeck (2001) as an adaptation of the Prochaska, Norcross and Di Clemente six-stage change process (1995). The steps of the process are:

- Becoming aware: developing within oneself an awareness of the need for change.
- Preparing for change and developmental planning: making the commitment to change, setting goals, and developing an action plan.

- Taking action: doing what it takes to develop new behaviors and discard old ones.
- Maintain the gain: developing processes to maintain the gain. (Dalton & Hollenbeck, 2001, p. 357).

Becoming aware is embedded throughout the *Provide Feedback* section of the commander's handbook. The Army's counseling processes are instrumental in preparing for change, taking action, and maintaining the gain. Key principles to the development of an action plan include:

- The person who has to achieve the goal must choose the goal.
- "Goals must be few in number, clear and behavioral; difficult but attainable."
- Goals are focused on learning/mastery that is dependent on the persons own efforts (Dalton & Hollenbeck, 2001, pp. 359-360)

The use of varied and integrated learning strategies is a key dynamic of individual development plan planning and implementation (Dalton & Hollenbeck, 2001). The commander's implementation of the final two sections; *Integrate Learning* and *Create a Legacy* provide this requisite variety in learning opportunities for unit leaders.

4. INTEGRATE LEARNING

4.1 Apply Learning Principles

For leader development to come about, learning needs to occur. Thus it is important for commander's to understand how individuals learn and apply it to unit leader development. In an extensive review of learning theories, Curnow, Mulvaney, Calderon, Weingart, Nicely, Keller-Glaze, Fallesen (2006) identified common themes including:

- Providing experience-based learning.
- Providing feedback to students.
- Enhancing transfer of training to novel job situations through integration with experiential activities (e.g., simulations, games).
- Maintaining learner attention.
- Motivating students to learn.
- Making learning active.
- Maintaining a learner-centered approach (American Psychological Association, 1997). (p. 17).

The learner-centered approach endorsed by the American Psychological Association (1997) synthesized research across many fields to produce their principles of learning:

- The learning of complex subject matter is most effective when it is an intentional process of constructing meaning from information and experience.

- The successful learner, over time and with support and instructional guidance, can create meaningful, coherent representations of knowledge.
- The successful learner can link new information with existing knowledge in meaningful ways.
- The successful learner can create and use a repertoire of thinking and reasoning strategies to achieve complex learning goals.
- Higher order strategies for selecting and monitoring mental operations facilitate creative and critical thinking.
- Learning is influenced by environmental factors, including culture, technology, and instructional practices.
- What and how much is learned is influenced by the learner's motivation. Motivation to learn, in turn, is influenced by the individual's emotional states, beliefs, interests and goals, and habits of thinking.
- The learner's creativity, higher order thinking, and natural curiosity all contribute to motivation to learn. Intrinsic motivation is stimulated by tasks of optimal novelty and difficulty, relevant to personal interests, and providing for personal choice and control.
- Acquisition of complex knowledge and skills requires extended learner effort and guided practice. Without learners' motivation to learn, the willingness to exert this effort is unlikely without coercion.
- As individuals develop, there are different opportunities and constraints for learning. Learning is most effective when differential development within and across physical, intellectual, emotional, and social domains is taken into account.
- Learning is influenced by social interactions, interpersonal relations, and communication with others.
- Learners have different strategies, approaches, and capabilities for learning that are a function of prior experience and heredity.
- Learning is most effective when differences in learners' linguistic, cultural, and social backgrounds are taken into account.
- Setting appropriately high and challenging standards and assessing the learner as well as learning progress -- including diagnostic, process, and outcome assessment -- are integral parts of the learning process.
(American Psychological Association,1997)

Overlapping the learner centered approach is the study of how adults learn – Andragogy. "Andragogic learning designs involve a number of features which recognize the essential maturity of the learner" (Laird, 1985, p. 125):

- They are problem-centered rather than content-centered.
- They permit and encourage the active participation of the learner.
- They encourage the learner to introduce past experiences … to reexamine past experiences in the light of new data …
- The climate of the learning must be collaborative.
- Planning is a mutual activity between learner and instructor.
- Evaluation is a mutual activity between learner and instructor.

- Evaluation leads to a reappraisal of needs and interests …
- Activities are experiential, not "transmittal and absorption"…

(Laird, 1985, p. 125).

Given the abundance of theory, approaches (e.g. learner centric), and fields of study (e.g. andragogy) that seek to clarify how it is that people learn, it is apparent the subject of how people learn is complex. Yet there are reoccurring ideas that can and should be integrated into leader development activities. The integration of learner experiences, and learning through experience, is effective with adult learners. Attending to the factors that shape the motivation of the learner, e.g. ensuring the topic is relevant to their situation is important. A challenging yet supportive learning environment stimulates individuals mentally and intellectually, helping learning to occur. Such factors are overlapping and intertwined in ways that research has yet to fully comprehend. Even so, integrating them into the design and implementation of leader development learning activities will improve the probability that learning will occur. This learning will contribute to the overall effectiveness of unit leader development.

4.2   Leverage Leader Role Models Within the Unit

This section expands on the earlier sections of the handbook which emphasized the importance of the unit commander as a role model for leader development. The concept of role model is broadened to apply to a larger number of leaders in the unit. Role models are those that set the example or have some special expertise in a specific area that causes others to look to them as an example of how to perform. The concept of leading by example is supported by social learning theory (Bandura, 1977), which states that behaviors are learned by observing and emulating salient role models. Empirical evidence suggests that employees do look at others in the organization as role models for behavior (O'Leary-Kelly, Griffen, & Glew, 1996; Robinson & O'Leary-Kelly, 1998). Bommer, Miles, and Grover (2003) found that an employee's performance of organizational citizenship behaviors (behaviors that are not required but benefit the organization) was influenced by the performance of these behaviors by others in their workgroup. Sims and Manz (1981) propose that leaders serve as important role models in organizations, such that leaders with greater status and power will be more likely to serve as role models. Role modeling on the part of the leader can lead to important outcomes for the organization. A study of health care administrators found that the leader behavior that was mostly strongly correlated with subordinates' productivity was setting the example (McNeese-Smith, 1996).

Role modeling in the Army is particularly important. In a Rand study on leader development activities, captains and majors voted *examples in their chain of command* and *peers whom they admired* as two of the top five most effective methods of leader development. Blunt (2000, May) cites Peter Drucker as saying that, "leaders are followed more for who they are as observed by their behavior than for what title they have …" (p. 10). And Blunt goes on to say, "… people learn leadership from you whether you intend for them to or not; whether you are an excellent leader or not." (p. 10). Taking this advice and the social learning theory research that supports it, the

commander ought to place new and developing leaders in contact with, and ensure they learn from, the best role models available. All leaders are expected to be role models, yet some may be new to their role and have not yet mastered it. Still others may be struggling in their role. Inexperienced leaders can easily assume that just because a person occupies a leadership position their example is to be emulated. Yet the person they are observing or learning from may not be an actual role model for their leadership position.

To implement the theory and research behind role modeling, put the best leaders in charge of welcoming, sponsoring, and running new leader certification. New leaders, or those that need to develop in a specific competency, ought to shadow or deliberately observe another leader who has excelled at it. In a shadowing assignment an aspiring leader follows a few leaders around for as long as a week. This provides the shadower exposure to the challenges and approaches of different leaders (Tropiano, 2004).

One drawback to leveraging role models for various special or additional assignments is that it becomes a burden to them. Leaders who set the highest standards are busy people. They have a job already and subordinates to supervise and develop. If they are given the added responsibility welcoming, certifying or having another leader shadow them, this responsibility takes time away from their own job performance. Recognize their taking on additional responsibilities that benefit other leaders and the unit as a whole. Balance the adding of role model responsibilities to their job with taking something else away. For example, provide them with a strong assistant or second in command, and/or recognizing their extra effort.

4.3   Foster Mentorship

An effective way to develop leaders is through forming meaningful and influential relationships. Individuals who progress into positions at higher levels often have fewer support systems for development. As a remedy, many organizations offer formal mentoring and professional coaching to assist leaders in various areas and for a number of reasons, including socialization of new managers, preparing for more responsibility, and organizational change efforts (Phillips & Schmidt, 2004).

Mentoring has been defined as "a helping relationship in which a more experienced person invests time and energy to assist the professional growth and development of another person" (Barton, 2001). Mentoring between senior and junior leaders is essential in filling information gaps. The practice ensures success of leadership in the future, as mentors compress young leaders' learning curve by helping them sort through information and identify what is really important. Additionally, leaders who have been well mentored tend to become great mentors themselves (Maggart & James, 1999). Formal mentoring involves the pairing of a mentor and a protégé in a structured program. This type of relationship includes prior training for the mentor, a formal agreement, a development plan, and evaluation to determine the effectiveness (Phillips & Schmidt, 2004, p. 17). Informal mentoring typically does not match a junior leader (mentee or protégé) with a more senior, experienced leader (mentor). It is typically a

relationship that arises naturally through mutual identification. Research findings tend to support hypotheses that informal mentoring is more effective than formal mentoring. Ragins & Cotton (1999) found that for 9 of 11 mentor roles, protégés received greater benefits from informal mentoring relationships than formal mentoring relationships. Benefits included more career development information and psychosocial support. There was also a higher overall satisfaction result. Although not a significant difference, protégés with a history of informal mentoring also tended to earn more (compensation) than those who had been formally mentored (Ragins & Cotton, 1999).

The Army supports informal, voluntary mentoring relationships. It defines mentoring as:

> Mentorship is the voluntary developmental relationship that exists between a person of greater experience and a person of lesser experience that is characterized by mutual trust and respect. The focus of mentorship is voluntary mentoring that extends beyond the scope of chain of command relationships and occurs when a mentor provides the mentee advice and counsel over a period of time. Effective mentorship will positively impact personal and professional development. Assessment, feedback, and guidance are critical within the mentoring relationship and should be valued by the mentee in order for growth and development to occur (AR 600-100. 2007, p. 6).

Roles, responsibilities, and guidelines for implementing a mentoring relationship are found in DA PAM 690-46, Mentoring for Civilian Member of the Force and The Army Mentorship Handbook (2005).

Mentoring can also occur in group settings (McCauley & Van Velsor, 2004). Group mentoring can be the regular meeting of one senior mentor with a group of less experienced leaders. This type of mentoring can be very beneficial for leaders as they seek to learn how the organization works. It can act as a sounding board for their perceptions of what is going on around them. The senior mentor can also seek to foster a degree of peer mentoring (learning from one another) within this setting. Group mentoring, however, is not conducive to spending time on the unique needs of each individual. It also requires a degree of planning and group facilitation skills on the part of the senior mentor.

4.4   Training/Professional Development

The Army itself varies widely on what unit leader training and professional development consists of. The Army Training and Leader Development Panel (ATLDP) studies asked about how well unit leader development programs (LDP) provided leaders with feedback and prepared one for the next level of leadership (panel assumptions about the objectives of leader development in units). A majority of officers responded that their unit leader development programs accomplished these objectives to a "slight extent" or "moderate extent" (Fallesen et al, 2005, p. 145). Rather, focus group themes revealed that LDP was more about "… weekly OPD (officer professional development) lunches before deployment, daily talks with troops, and staff rides" (Fallesen et al, 2005, p. 146).

Thus LDP from serving leaders appeared to be more about commanders issuing guidance, gathering together to build cohesion, and collective learning opportunities. An example of a unit leader development memorandum reflects the diversity of approaches and practices commanders understand to be part of unit leader training and professional development (see Appendix B). In it, leader development activities spanned actual training for mission essential tasks to certification on safety to recitation of the command weight control policy. Dining in/out events, staff rides, public recitations of unit history were also part of unit leader development. Still today, a 2006 Rand study found that unit leader development activities are perceived to vary widely. Commanders apparently pick and chose various leader development activities depending on the unit's circumstances and their own strengths (Schirmer & Crowley, 2006, November). An analysis and synthesis of the various sources and documents pertaining to unit leader development programs yields the following five content domains:

- Mission-essential leader task training.
- Required orientation/education sessions (e.g. maintenance, safety).
- Cohesion-building activities to build esprit de corps (e.g. dining in/out; sports).
- Commander/CSM personal issuance of guidance to all leaders.
- Education sessions on leader career path topics.

4.5   Reflection

The action-observation-reflection model by Kolb (1984) is based on the assumption that people will learn more from experiences when time is spent thinking about them. Many organizations realize the utility of this model, and integrate reflection in designing leader development programs. Activities of reflection and introspection involve journal writing, small-group discussions, and individual sharing with a learning partner. The successful use of reflection has been tied to continuous learning (Day & Halpin, 2001). Yet when compared to other civilian best practices for leader development, there is not great support for the use of reflection as a developmental activity. Its implementation takes time and skilled guidance to be effective. And organizations focused on quantitative measures of effectiveness are disappointed with reflection when their return on investment is not visible on-the-job (Day & Halpin, 2001).

Reflection in leadership almost always involves the leader interacting in a bilateral relationship, with someone or something else. Therefore, using reflection with leadership and only considering the thoughts and actions of the leader is not effective, as leadership requires interaction with others through the leading of others (Avolio, 2005). In a study by Loo and Thorpe (2002), the use of reflective learning journals was an effective tool to stimulate critical reflection about both one's own learning and group processes. Additionally, it stimulated participants to take specific action in improving their own learning and the effectiveness of the team, especially for future careers. [p. 138]

Organizations that have successfully used reflection to develop leaders include the National Australia Bank (Conger & Benjamin, 1999), Federal Express (Murrell & Walsh,

1993), and the Center for Creative Leadership. However, Proctor & Gamble dropped reflection as a leader development component after analysis suggested insufficient evidence of a direct link between individual reflection and business outcomes (Day & Halpin, 2001).

The Army regularly utilizes reflection in the form of after action reviews (AAR). An AAR can stimulate reflection on aspects of workgroup processes and performance that can be improved through examining what happened as the process unfolded as opposed to waiting until things are broken. Reflection begins with describing what was attempted and compare that to what was perceived to have happened. Once a shared understanding of the ground truth of an event is established, exploration as to reasons why it happened may be done. Next, the focus should be on strategic actions that will be taken as a result of the review. Reflection is important to strategic planning since effective leadership "occurs when people think beyond first-order effects to what might occur at the second and third-order level" (Avolio, 2005 p. 103).

Managers at GTE use AARs to develop workgroups. The information gained from an AAR is included in a knowledge repository for later reference. The AAR's are recorded as a way to clarify thinking, make them more official and less likely to be forgotten, and easy to share with others. Leaders are able to reference lessons learned when the group is confronted with new problems. AARs are used in order to facilitate the breakdown of hierarchical barriers by including different perspectives, and to develop a mindset of possibilities. In this way, reflection occurs close to the action, and bridges the action taken with understanding. As an added bonus, employees realize their input is valued, and become stakeholders in the follow-up action taken as a result of the review (Avolio, 2005). The After Action Review (AAR) Process should:

- focus on a few performance issues at a time.
- be conducted during or immediately following the action.
- be structured to identify ground truth.
- understand multiple facets of the problem, act quickly on learning.

The steps of an AAR, the role of the facilitator, and its overall purpose are:

- Steps: Review intent, what happened, what occurred why and how, results, what was learned, what to do now, take action, teach lesson learned to others.

- Facilitator: promote focused exchange among members, objectively uncover facts, search for cause and effect, listen to each other, climb ladder of inference.

- Overall purpose: develop shared understanding of a situation – what happened and why, what could have been done differently to change events. Input from all levels is valued, across hierarchical levels.

The personal AAR articulated in the commander's handbook is an individualized version of the more general unit AAR process. It is introduced as a way to apply the

practice of personal reflection. Although the Army's current AAR process may provide a stimulus for personal reflection, it is primarily focused at identifying unit level performance issues. The public nature of the unit AAR tends to downplay individual leader performance strengths and developmental needs. Thus it was not a learning method that focuses on individual leader reflection and learning.

Implementation of a personal AAR in the Army has a history of conceptualization and implementation that shapes its purpose and format. Formal emphasis for a more individualized approach to leader reflection and learning came from the Army's Human Relations Action Plan (Sept 1997) that tasked TRADOC to "assess the feasibility of integrating leadership and HR (Human Relations) into the battlefield operating systems at CMTC, NTC, and JRTC." (Department of the Army, Sept 1997). The Center for Army Leadership was given this tasking and conceptualized a series of interventions at the Combat Training Centers (CTC's) designed to encourage individual leader feedback and learning. The interventions were proposed for piloting but never actually implemented. FORSCOM fielded a program (FORSCOM Leader Development Program) around the same time that had similar objectives. It relied on a contracted coach who accompanied selected leaders during the CTC, providing them with structured feedback (see Appendix C) and informal mentoring. This program continued for some time but was never institutionally implemented across the CTCs. Objections to implementation at the time included concerns that it would somehow put the OC in a *judging or evaluative* role (relative to their unit counterpart) detracting from the *observer* role they were designed to be. Thus individualized feedback and leader reflection remained an informal and sporadic occurrence. The concept was next addressed by Bullis (2003) who recommended the Army implement "individual leader after action reviews." The commander's handbook melds the concept of reflection together with the Army's experience with individual leader feedback to create the personal AAR application. This tool puts responsibility for the learning and reflection in the hands of each individual leader. It is up to them to take time to reflect upon the impact of their leadership on unit mission performance. Commanders can encourage the personal AAR through their own example of implementing it while creating an expectation that it is a norm for leaders to do so.

4.6   Study

Learning through reading and study of various professional topics has long been a part of leader development. Within the Army it has been typically referred to as professional development and is part of a larger expectation of self-development. *Leader Development for America's Army* (DA PAM 350-58, 1994) stresses the importance of leaders taking personal responsibility for their development. They are to, at their own initiative study, read, and write professionally. Within the unit environment this is often actualized via a unit reading program. Yet recent survey results indicate commanders must make the reading relevant, provide a purpose, and follow up (Schirmer & Crowley, 2006, November). Aspects of reflection ought to also be integrated with it. This means asking questions of the reading to elicit thought, understanding, and lessons learned for future application. Key to realizing leader development from the study of leaders is to

process what those in leadership positions did or did not do that led to mission success or failure. The impact of leaders on unit morale, cohesion, retention and other important outcomes should also be noted. This type of analysis and reflection brings to light the *leadership* lessons to be learned.

Professional development via study can also occur on a group or team basis. Networking serves as a developmental tool to expand leader's problem-solving resources beyond *what* and *how*, to include *who* is an expert on the topic of study or problem to be solved. This could include groups of managers and executives who have common training or job experiences meeting and interacting over lunches or through electronic dialogue. This allows for sharing of common interests, such as challenges and opportunities (Day & Halpin, 2001).

Individuals often build an informal network or "constellation" of relationships that they rely on for support. These ties are lateral or hierarchical, within or across organizations, and job-related or career-related (McCauley & Douglas, 2004). Networking can range from face-to-face interactions to on-line communities of practice forums. The development of leaders through networking has been promoted by organizations such as Anderson Worldwide, Motorola, and Nortel (Day & Halpin, 2001).

5. CREATE A LEGACY

5.1   Create Challenging Job Experiences

Job assignments give leaders the opportunity to learn by doing, and are one of the oldest and most potent forms of leader development (Ohlott, 2004; Phillips & Schmidt, 2004). *The Lessons of Experience* (McCall, Lombardo, & Morrison, 1998) brought to light for many the type of job assignments that are especially developmental and the enduring lessons leaders learn from them (see Figure 5). The Center for Creative Leadership then gave prominence to developmental assignments in their *challenge-assessment- support* leader development model (McCauley & Van Velsor, 2004). This model was introduced in the opening section of this technical report (see Figure 3). The trend of using job assignments as a form of employee development is not exclusive to the private sector, but is now prevalent in government, education, and not-for-profit organizations (Ohlott, 2004). Development is embedded in the context of ongoing work initiatives that are tied to key strategic imperatives. This allows individuals to learn and develop from their work, and makes development part of an everyday experience. The converse of this approach is learning that occurs away from the job itself (Day & Lance, 2004). A developmental assignment is one that stretches individuals by pushing them out of their comfort zone, requiring them to think and act differently. In such an assignment, the responsibilities are unfamiliar, challenging, and may be filled with problems. Also, roles in the situation may not be well defined. Individuals are met by dilemmas, obstacles, and choices under risk and uncertainty (Ohlott, 2004).

Setting the Stage
   ▪ Early work experience

- First supervisory role

Leading by Persuasion
- Project/task force assignments
- Line to staff switches

Leading on Line
- Starting from scratch
- Turning a business around
- Managing a larger scope

When other people matter
- Bosses

Hardships
- Personal trauma
- Career setback
- Changing jobs
- Business mistakes
- Subordinate performance problems

Figure 5: The Developmental Events (excerpt of Figure 1-3. p. 10, McCall et al, 1988).

Examples of developmental job assignments include task force memberships, job transitions (making a lateral move or a job rotation), expanded current assignments, new jobs, creating change (turn around or start up assignments), overcoming obstacles in a new position, moving to a role that involves a higher level or responsibility, and managing without authority (Phillips & Schmidt, 2004). Key to a developmental job assignment is an element of challenge. By tackling unfamiliar tasks and experiencing the consequences of actions, individuals learn from the challenge (Ohlott, 2004). Assignments should be appropriate for the individual's development need and have an intentional learning component associated with the tasks (Day & Lance, 2004). Hopefully, the learning will produce changes in how the individual makes decisions, takes action, handles risks, manages relationships, and approaches problems (Ohlott, 2004).

Ohlott (2004) summarizes research into what makes a job developmental, which includes five broad sources of challenge related to learning. First, *job transitions* involve a change in work role, such as job content, level of responsibility, or location. The extent to which a transition is developmental is person-specific, in that it depends on how similar the new job is to previous roles.   Second, a job that requires a leader to *create change* calls for numerous actions and decisions in the face of uncertainty and ambiguity. These assignments may involve starting something new in the organization, carrying out a reorganization, fixing existing problems, or dealing with problematic employees (pp. 154 – 158).

Third, job assignments with *high levels of responsibility* offer breadth, visibility, and complexity, and expose the individual to pressure and high-stakes decisions. A combination of increased visibility (being in the spotlight) and operating at a high level (doing work that makes a difference) may encourage people to work harder to enhance their leadership skills and abilities (p. 160). The developmental challenge of an assignment of high responsibility was also strongly supported by the results of a Corporate Leadership Council study (2001).

Fourth, leaders can learn to *manage boundaries* by working with other individuals over whom they have no formal or direct authority. These situations can offer learning in building relationships, handling conflict, and being straightforward with others. An example of such an assignment would include participation in a cross-functional project team or task force. Finally, *dealing with diversity* offers learning to leaders through working with and managing people not like themselves. Leaders are challenged to move beyond their own beliefs and perspectives to understand new personal, business, and workplace issues. Here, the tried-and-true approaches may no longer work, and new behaviors and skills must be learned and practiced (Ohlott, 2004).

In addition to the five sources of challenge, Ohlott (2004) identifies three thematic areas within learning from job assignments:

- Meeting Job Challenges – captures drive, energy, attitudes, and resourcefulness needed to cope with demands; acting in face of ambiguity, facing adversity, seizing opportunities.
- Leading People – ability to understand other points of view; handle situations, understand perspectives, delegating and encouraging, motivating and developing others.
- Respecting Oneself and Others – understanding importance of credibility, respect, sensitive to people's needs, acting with integrity.

Preparation is not always necessary for developmental stretch assignments, and some organizations intentionally place individuals into jobs for which they are only partially prepared. The circumstances of the assignment cause thinking when complexity develops as a function of being in a challenging job assignment (Day & Lance, 2004). Unfortunately, organizations often put proven performers into key roles due to the possibility of failure for new individuals. There must be support for the risk of learning, recovery from failure, feedback, and implementation of development plans. This type of support motivates individuals to persist in developmental efforts (Phillips & Schmidt, 2004).

5.2   Leader Selection

The selection of leaders for positions in Army units is often times driven by local command, HRC, or Army assignment policy. This can especially be the case when leaders first arrive at a unit. Both the individual and the Army have typically set an expectation that leaders assigned to a unit will be specifically put into designated

leadership positions (e.g. platoon sergeant, platoon leader). Yet within this policy the unit commander has a voice and s/he should exercise it through the establishment of unit leader screening and selection processes. When considering external candidates for leadership positions, the Corporate Leadership Council (CLC) makes a number of recommendations in *Hiring for Organizational Fit*, the third Hallmark of Leadership Success (Corporate Leadership Council, 2003a). According to the CLC, the selection process must put emphasis on selecting candidates based on fit with company culture, fit with senior executives, and consideration for future direct reports (p. 4). Army leaders typically arrive at their unit already having been socialized into Army culture through accession and institutional schooling. Yet for a specialized Army unit and/or unique mission demands, such screening and selection is still important. Special Forces and Ranger units, for example, conduct extensive screening and selection procedures to assess the fit of external candidates for the unique culture of their units and specialized mission requirements.

Commanders, however, exercise greater control over the screening and selection of leaders for successive positions within their command. Generally speaking, screening and selection processes for leadership positions should include a number of steps designed to identify the best candidate for the position. Prior to any screening or selection, identification of the criteria for success in the job position is important. This typically includes leader competencies (behavioral indicators) as well as requisite experiences, training/certifications, and success indicators (promotions, performance review ratings, unit performance/success). The actual steps of screening and selection typically include recommendations and reference checks, personal history data, testing, and employment interviews (Cascio, 1998). Initial steps are more focused on screening - quick rough (and efficient in terms of organizational resources) reviews that screen out unqualified candidates. Subsequent steps are more geared to selection of the best qualified candidate from among a number of qualified individuals. For managerial, or leadership positions, specialized tests and assessments are often employed (Cascio, 1998). These may include cognitive ability tests, assessment center exercises, and actual work samples. Work samples distinguish themselves from other assessments in that they truly replicate observable on-the job behaviors. And the assessment itself evaluates the ability "… to do rather than the ability to know …" (Cascio, 1998, p. 234). For internal candidates, peer ratings may provide valuable information that comes from a different sample of behavioral observations than that of the supervisor. Yet peer ratings must be systematically gathered in ways that ensure its reliability and validity. When done correctly, peer ratings show adequate reliability and validity (Cascio, 1998, p. 233).

There is error in each step of the screening and selection process. No one step or method is a perfect predictor of leadership success. Thus more than one step ought to be under taken for both the screening and selection process. The more important and critical the position and its organizations performance, the more thorough the process of screening and selection ought to be. Serving Army commanders take into consideration the leadership team when selecting an individual for a leadership position (Appendix A, 5). Consequently they will seek to balance the developmental needs of one leader (e.g. the officer) with the strengths of the other leader (e.g. the NCO) when making a selection

decision. Overall screening and selection are important processes in unit leader development that serve to ensure the right leader is put into the right job. It is a key step that if done correctly, facilitates the achievement of the three purposes of leader development identified by this handbook (current unit performance, readiness for future positions of increased responsibility, individual well-being).

5.3   Plan Leader Succession

Succession planning is a deliberate process of forecasting available job positions and the sequencing of individual leaders into them over time. Army succession planning weighs unit, Army, and individual well-being considerations. The process also involves input, or influence by, Army and branch specific HRC representatives, the local installation, higher and adjacent commanders, the unit commander, and the individual leader. When used strategically, succession planning can serve as a powerful agent in transforming an organization into what it needs to be. If merely used to recreate the same type of leaders and organization that was successful in the past, succession planning will most likely fail. Rather, succession planning should help "position the organization for the future" (GAO, 2003, p. 8). Many leading organizations go beyond planned replacement of *key* leaders, but engage in succession planning to strengthen and develop leadership talent *across all levels* (Corporate Leadership Council, 2004).

Succession Planning has been defined as the "strategic, systematic and deliberate effort to develop competencies in potential leaders through purposed learning experiences such as targeted rotations and educational training in order to fill high-level positions without favoritism" (Tropiano, 2004 p. 50). This effort typically involves identifying a pool of high-potential candidates, developing leader competencies in those candidates through learning experiences, and selecting individuals from the pool to serve in leadership positions (Tropiano, 2004). Charan, Drotter, & Noel (2001) identify succession planning as perpetuating the enterprise by filling the (leadership) pipeline with high-performing people to assure that every leadership level has an abundance of these performers to draw from, both now and in the future (p. 167). Despite subtle differences in definitions, the actual components of an effective succession planning program are tailored to an organization's specific needs.

Strategic Focus. A sharp focus on where an organization is going is essential when implementing succession planning. Training and planning must be augmented with projecting what competencies a position will require in the next two to five years. According to General Accounting Office (GAO) director of strategic issues Chris Mihm, "Good succession planning is not just looking at who's next in line for a slot but also looking at people early in their careers and determining what kind of training they need to become leaders" (as cited in Tropiano, 2004, p. 51).

Leader Involvement. Top-level commitment is the driving force in succession planning. Numerous studies have found that an organization's leaders' support and commitment is the most critical driver for effective succession planning in top-tier leadership organizations, including the Corporate Leadership Council (CLC) (2003a)

study identifying the *Hallmarks of Leadership Success*, the General Accounting Office (2003), and the National Academy of Public Administration (NAPA) (Tropiano, 2004). Each organization determined the most critical benchmarking principle for succession planning involved keeping top organizational leaders personally involved and deeply committed. More to the point, the strongest CLC study findings state that senior executives should set the example by being good role models through developing employees, and hold the belief that development is important. Additionally, line managers need to make development a priority (Corporate Leadership Council, 2003a, p. 12). Some organizations use tactics to ensure senior leaders maintain involvement in succession planning. One method involves delivering training on succession planning to leaders to increase buy-in of strategic initiatives. Organizations conduct such training in the form of workshops that educate leaders on the importance of succession planning and the current state of human capital initiatives (Corporate Leadership Council, 2004).

A second method of ensuring senior leader engagement involves implementing direct or indirect accountability via performance appraisals. Direct succession planning accountability is done through explicitly evaluating leader involvement. Some organizations include succession management and leader development in performance reviews as a leader responsibility. This accountability is easily cascaded down the ranks from above, which ensures managers at lower levels are involved. In contrast, indirect accountability can be achieved through setting human capital management goals, and evaluating senior leaders on success in attaining those goals. In this way, the succession planning element of human capital management is indirectly represented in the leader's performance. Some organizations chose to align core competencies with succession planning and other organizational priorities. Evaluation on those competencies is then linked to compensation, thereby encouraging leader involvement (Corporate Leadership Council, 2004).

Participant Selection. There are numerous ways in which a leader candidate can enter a succession planning program. Organizations select participants through open enrollment, by a supervisor or a leadership development professional, or through a cross-departmental group of selectors (Corporate Leadership Council, 2004). Identification is often made through reviewing recommendations, performance reviews, and talent review meetings. The importance of this step is substantiated by the CLC study which identified *Selecting Successors for Their Leadership Ability* as the sixth Hallmark of Leadership Success (Corporate Leadership Council, 2003a, p. 11). The four components of this Hallmark are people management, strategic management, personal characteristics, and process management. Important areas of people management are recognizing and rewarding achievement, having a commitment to diversity, and clearly communicating expectations. Strategic management involves identifying and articulating long-term vision for the future and having an alignment of skills with future business strategy, while process management requires allocating resources across competing priorities. Personal characteristics, such as honesty and integrity, complement the use of interpersonal skills. Additionally, leadership ability relies on maintaining quality relationships with other senior executives.

Measuring Effectiveness. Measurability and accountability both need to be of concern when conducting succession planning. With regard to leader development, programs should be implemented with the end of measurable outcomes in mind (Tropiano, 2004). These measurable outcomes can be assessed in a variety of ways, quantitatively and qualitatively. Measurement is also important to determine the overall effectiveness of a succession management leader development effort. This evaluation of program effectiveness feeds into steps taken toward improving the program. Quantitative measures such as participation rate, post-program progress, development spending to placement, and promotion rate can be examined, as well as qualitative feedback such as comments from participants, mentors, and supervisors involved (Corporate Leadership Council, 2004).

Organizational Effects. The payoffs for effective succession planning are a talent-driven culture and accelerated development of leaders with a vision for the future (Tropiano, 2004). The positive effects of succession planning contribute to the three purposes for leader development in the Army – unit performance, Army readiness, and individual well-being. Thus it is a critical component of unit leader development.

5.4   Implement Leader Development

The commander's handbook is descriptive yet not prescriptive in how to implement unit leader development. Yet understanding where and when the various methods can be integrated into unit activities may be helpful. *Battle Focused Training*, FM 7-1 (2003), Figure A-2 provides a framework of activities that are especially valuable for their leader development potential. Its Leader Development Action Plan (LDP) identifies key events in the lifecycle of a leader's development. These events fall within three phases: *Reception & Integration*, *Basic Competency Training*, and *Leader Development and Training Sustainment*. Many of the leader development methods found in the commander's handbook apply naturally to each phase (see Appendix D). *Reception and Integration*, for example, should abound with *Integrate Learning* methods. *Basic Competency Training* is especially enriched by *Provide Feedback* methods. *Leader Development & Training Sustainment* relies heavily on *Creating a Legacy* methods. And key to the effective integration and implementation of all methods is *Set the Conditions*.

Responsibility for implementation also needs to be articulated and methods for its accountability established. Here the identification of roles and responsibilities for unit leader development is important. This topic was addressed up front in the commander's handbook within the section *Efficient Leader Development* (Center for Army Leadership, 2007). McCall et al (1988) reiterates key considerations for organizations who desire to take responsibility for leader development are that:

- Senior line management accepts ultimate responsibility and devotes substantial time to it.
- Human resource staff is credible, with in-depth knowledge of the business, the jobs, and the people.

- Human resource staff acts as partners, providing information, acting as a conscience, shepardiing the process.
- Line management puts teeth into their commitment to development.

Hand in hand with responsibility is a means of accountability. This means that unit leader development is a performance goal for performance management purposes. This translates into becoming a stated performance objective for officers and non-commissioned officers. In the private sector accountability for leader development has been operationally defined, in some organizations, as 25% of executives' bonuses tied directly to their development of leaders (McCall et al, 1988).

Implementing leader development according to the commander's handbook most probably will require shifts in perspective. Its methods represent a change in thinking about leader development from current and past assumptions held by many both in the military and across public, private, and non-profit sectors. The Center for Creative Leadership identified five key shifts in perspective needed to implement their way of thinking about leader development (Van Velsor, Moxley, & Bunker, 2004, summary of pp. 205 – 207 follows). These shifts appear to be applicable to implementing the methods of the commander's handbook as well.

First leader development is no quick fix event or program. It is an on going process that occurs over time. This challenges the commander who operates within an environment of short term mission requirements and who will probably command for only one to two years. Second, the experiences that develop leaders are different and much broader than previously thought. Training and education programs were previously thought to be what develops leaders. It is now known that the primary means of leader development are challenging job assignments, relationships/interactions with successful leaders, and feedback. Training and education is but one of many leader development methods. Yet for many commanders, their viewpoint is that leader development is the responsibility of the Army's institutional training system. It provides a progressive and sequential series of schools that provide them with leaders ready to lead. The operational unit environment is about *unit* training and mission execution. Leader development certainly "happens" in the operational assignment, but it is not something to deliberately pay attention to.

Third, leader development is integrated into day-to-day organizational activities. It is not primarily off-site or separate training sessions. Integrated leader development looks like leaders who provide feedback as a normal part of day-to-day communication. Adjustments to job experiences and special assignments are made "on the fly" to put leaders in developmental situations. "Today, development does not mean taking people away from their work; it means helping them learn from their work." (p. 206). Commanders in the Army, however, have been conditioned to scheduled unit leader development. Their own experiences are that unit leader development is associated with scheduled officer and non-commissioned officer professional development (OPD/NCOPD) sessions. Leader development primarily occurs within the confines of

these designated periods of time in which the collective leadership convenes for training, education, and/or cohesion building activities.

Fourth, the complexity of development has changed. This is because the future business (and warfighting) environment and what will be required of its leaders is constantly changing. Employing specific training-like tasks for development quickly become outdated. They also do not support the creation of adaptability and comfort with ambiguity that the ever evolving external environment demands. Army commanders who have experienced deployments to Iraq and Afghanistan will be more comfortable with this shift in perspective. Their most recent counterinsurgency experiences have conditioned them to an enemy and environment that is ever changing and adapting. Leader development in this environment, then, is more about having goals, seeking development experiences, and learning a broad set of competencies.

Fifth and last, the responsibility for development is shifting. It used to be that organizations were paternalistic in their approach to development. They provided it and leaders depended on the organization to tell them when and where to go for development. An unhealthy dependency developed in which leaders did not see themselves as responsible for their own development. In recent years many organizations have sought to alter this dependency relationship by passing the responsibility for development on to employees. While this has engendered a sense of responsibility on the part of individual leaders, it has also resulted in the loss of organizational support for development. Organizations need to strike an appropriate balance between leader and organizational responsibility for leader development. The Army of the past, for example, erred on the side of the paternalistic approach. Leaders were generally told when and where to go for leader training, education, and assignments. They developed an expectation that the Army provided development for them. Not surprisingly, when junior officers were recently asked about their self-development efforts, the typical answer was silence (Shirmer & Crowley, 2006). Thus the present day commander may find it challenging to implement some of the handbook methods that call for leaders to participate and take responsibility for their development. The methods of the commander's handbook, however, are not intended to put the entire burden of leader development on the individual. Its methods are designed to strike a balance between organization, commander, and individual leader responsibility for development.

5.5   Evaluate the Effectiveness of Leader Development

Evaluating the effectiveness of unit leader development brings one back to the original purposes for it. The purpose of unit leader development is threefold: immediate unit performance, preparation for positions of increased responsibility, and individual well-being. It follows, then, that evaluation of unit leader development include indicators across each of the three purposes. Research and best practice in leader development evaluation identifies a number of approaches to evaluation (Hannum, Martineau, & Reinelt, 2007). Actual experimental or quasi-experimental evaluations can be conducted. This type of evaluation requires that individuals undergo different leader development methods that are experimental treatments. And there is typically a control group of

leaders that receive no leader development whatsoever. Although extremely valuable for the purposes of research, this method is not practical for application within an actively working Army unit or organization.

Theory of change evaluation focuses on an input, throughput, and output model with leader development methods serving as throughput processes. Evaluation requires some measure of the input in comparison to the output in order to evaluate change. Theory of change evaluation also makes an assumption that individual change leads to organizational change and perhaps even societal change (Gutierrez, M. & Tasse, T., 2007). The organizational leader, too, in implementing leader development methods, is assuming that individual leader change will lead to unit or organizational changes in performance.   To truly evaluate unit leader development employing this method, the commander would need to track changes in individuals and the organization. It is possible for the commander to employ this method, but it does involve considerable resources to do so.

A third method is more along the lines of Return on Investment (ROI) thought and practice (Phillips & Phillips, 2007). This method identifies organizational indictors that would be expected to vary based on if and how well the leader development methods are working. ROI then proceeds to put a dollar cost on the method(s) employed and the benefit realized. For example, leader development methods that invest in the individual leader and their well-being would be reflected in career retention of leaders. As evidence of this, Army officers recently surveyed questioned whether or not retention issues were related to poor or infrequent interaction with senior officers (Schirmer & Crowley, 2006). Likewise, methods that improve the leader (e.g. provide feedback and integrate learning) would be reflected in retention and unit performance.   A true ROI evaluation then proceeds to calculate the cost of implementing the leader development methods and compares it to the financial benefit of improved retention and unit performance.

For the commander, a version of ROI that is not converted into monetary values is probably the best option for evaluating unit leader development. Experts on evaluating leader development have termed these measures as "intangibles." (Phillips & Phillips, 2007, p. 160 – 161) The following is a list of "intangibles":

- Job satisfaction
- Organizational commitment
- Climate
- Employee complaints
- Engagement
- Stress reduction
- Employee tardiness
- Employee transfers
- Image
- Customer satisfaction
- Customer complaints
- Customer retention
- Customer response time
- Teamwork
- Cooperation
- Conflict
- Decisiveness
- Communication
- Creativity
- Competencies

Yet the commander needs to be cautious in attributing change in these measures exclusively to leader development methods. Other internal and external factors (e.g. training resources, extended deployments, external job market) can and do influence organizational indicators such as retention and unit performance). Attributing causality would require control groups or trend/forecasting models that compare what the indictors would look like with/without the implementation of leader development methods (Phillips & Phillips, 2007, pp. 155-156). For the unit commander such methods are generally not available. The most feasible and accurate evaluation method then is to identify and track organizational indicators known to be influenced by leader development (e.g. intangible benefits). By following the indicators (as metrics) over time, the commander will start to obtain an understanding of what is influencing their variation. When a metric is low, s/he investigates to discover the root causes that are contributing to it. It could be that a lack of, or poor implementation of, leader development methods is the cause or contributing factor. It can also be the case that other factors are influencing the variation in the organizational indicator.

In some cases, the positive or negative *trend* of the indicator or metric may be more informative than a *snapshot* of it at a point in time. It can prove difficult to know when some "intangible" metrics are decidedly good or bad. Yet when responses to a metric trend downward or upward over time, this information can help identify what is causing it to occur and how it is being influenced. Metrics are also a balance of leading and lagging indicators (Kaplan & Norton, 1996). Leading indicators provide early warning as to whether or not outcome, or lagging, indicators will be achieved. Employee satisfaction and morale, for example, is typically a leading indicator of quality and customer service (Kaplan & Norton, 1996).

In spite of advent of sophisticated human resource metrics, companies still struggle with how to ascribe meaning to them. Finding meaning through comparison, private sector companies often join or contribute to national level consortia to share their metrics and contribute to industry or nation-wide benchmark studies. Benchmark studies within the field of human resources identify personnel practices that companies have found to be effective. This provides another source of comparison data for leaders (Fitz-enz, 2000). Several organizations, such as Saratoga Institute, the Conference Board, and the Corporate Leadership Council offer these benchmark services. Although such nationwide data is not available to unit commanders, a peer discussion with fellow commanders could help provide a better perspective to how interpreting and ascribing meaning to individual unit metrics.

As for the examples of metrics themselves, employee attitude, satisfaction, or unit climate results can also be a source to evaluate aspects of leader development. This is especially true when they measure such basic social processes as communications, trust, and openness (Phillips & Schmidt, 2004). Surveys may also directly inquire about unit leader behavior and competence. For example, the Option One Survey used by a subsidiary of H&R Block includes items such as "My immediate leader acts in a manner consistent with our company's mission and values." (Garvey, 2004) Surveys can also more directly measure the effectiveness of the leader development methods themselves. The Army, for example, periodically administers surveys to assess the health of Army

leader development systems. The Army Training and Leader Development Panel (ATLDP) series of studies is one such example (Fallesen et al, 2005). As is a recent Rand Corporation study (Schirmer & Crowley, 2006). The studies directly ask leaders about the amount of feedback they receive, developmental aspects of job assignments, and leader training/education opportunities and effectiveness.

Another metric common to most HR metrics systems and benchmarks is voluntary employee retention. It can be seen as the extent to which HR provides the human capital needed to achieve the organization's mission and as a measure of employee satisfaction (Fiorelli, Alarcon, Taylor, & Woods, 1998). HR policies, such as pay and benefits, do have an impact on employee retention, but leader development can have an equal impact on satisfaction and retention. The ATLDP series of studies showed that a number of leader development related factors have an effect on leader intention to make a career with the Army. Leader development opportunity/support was cited by 41% of officers and 32% of non-commissioned officers (Fallesen et al, 2005, p. 31). Thus the retention of employees who are good performers should be considered a metric (Sullivan, 2001). Employee retention, however, is a lagging measure of leader development – turnover is not likely to increase until *after* leader development methods are found to be lacking or non-existent.

Employee development is a metric promoted by the Saratoga Institute and used by their clients (Fitz-enz, 2000). They provide benchmarks on eight metrics related to employee development, such as a percentage of employees trained (employees trained/total headcount), training cost factor (total training cost/employees trained), and training cost per hour (total training cost/total training hours). These metrics are related to cost of training and number of employees trained, but they do not measure the value of training or whether performance has improved as a result of training. It also does not include non-training development, such as coaching and mentoring (Fitz-enz, 2000). However, employee development is still important to measure, because organizations that invest in training are also more likely to provide other developmental support in terms of time, coaching, and on-the-job activities. This is likely to improve employees' skills and their ability to assume leadership positions. In providing for employee development, the organization's leadership is also fulfilling one of their key functions – the facilitation of employees to get the job done and aspire to positions of greater skill and responsibility.

Succession planning is a leader development system that provides for the selection and replacement of quality leadership throughout an organization. A 2003 Corporate Leadership Council study sought to systematically identify what differentiates organizations with quality leadership from those of lesser quality.

> Leadership quality is defined by top executives' performance against performance goals as well as select leadership quality metrics, such as leading people, strategy selection and implementation, and process management (Corporate Leadership Council, 2003b, p. 5).

This definition was derived on the basis of a previous study in which 8 quality diagnostic measures were identified (see Table 1).

Table 1
Leadership Quality Diagnostic Measures (Corporate Leadership Council, 2003b, p. 14)

Leadership Quality Diagnostic Measures (Obtained from 2003 Succession Management Survey)
1. Percentage of performance goals met by senior executives and successors
2. Senior executive and successor strengths and weaknesses: leading and managing people
3. Senior executive and successor strengths and weaknesses: strategy selection and implementation
4. Senior executive and successor strengths and weaknesses: personal characteristics
5. Senior executive and successor strengths and weaknesses: day-to-day process management
6. Overall satisfaction with senior executives and successors
7. Extent to which quality is compromised to fill senior executive and successor team positions
8. Extent to which some senior executives need to be replaced

These diagnostic measures from corporate America relate well to the Army's purposes for leader development. The diagnostics look at actual performance against stated goals (unit performance) and whether or not the system is replacing and filling key leadership positions with quality leaders (current and future Army needs). Data collection and analysis across the 276 corporations participating in the study also employed advanced analysis to further identify which strategies, if enacted, would have the highest probability of creating a succession planning system that produced high quality leadership. The seven hallmarks of top tier leadership companies are:

- Senior Executive Commitment to Development
- Exacting Performance Standards

- Hiring for Organizational Compatibility
- Organizational Reinforcement of Development
- Full Business Exposure for Rising Executives
- Selecting Successors for Their Leadership Ability
- Focus on Scarce Skills and Fit with Position

(Corporate Leadership Council, 2003b, p. 36)

These hallmarks, then, are a potential source of metrics that can be measured and evaluated for their contribution to the overarching purpose of quality leadership.

In applying leader development metrics to Army units it should be recognized that higher unit leadership has an impact on leadership quality and the leader development methods implemented by subordinate commanders. Shortcomings in quality leadership and/or lack of support for unit leader development may very well be a function of higher unit commanders and even Army level policies that are beyond the control of subordinate unit leaders. At the same time, positive support for leadership and leader development may be because of the emphasis of a senior commander on subordinate units. Yet unit leaders, at the level at which they are responsible, make a tremendous difference in the quality of unit leader development (Schirmer & Crowley, 2006). Quality leader development, in turn, contributes to better unit performance, the future of the Army, and the well-being of the individual leader. It is achieved through the commander's implementation of the commander's handbook for unit leader development.

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Appendix A - Consolidated Theme List

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1. Characteristics of the unit commander or senior leader influence the occurrence of leader development in units.

2. The unit climate is important and must support leader development by tolerating mistakes, accepting risk, encouraging trials and innovations, and accepting less than perfection.

3. Customizing the developing leader's job through assignments, additional duties, assigned missions, etc. is an important method of leader development, although it is sometimes not billed as leader development by the commander or recognized as such by the developing leader.

4. OPD and NCOPD programs can be an effective vehicle for leader development, but in many cases OPD and NCOPD programs need significant improvement.

5. Selection and screening of leaders can be useful in leader development efforts, but this is often done informally. Forming officer/NCO leadership teams in which weakness in one is complemented by strength in the other is a common selection goal.

6. Mentoring can benefit leader development. Mentoring relationships are currently established informally and not everyone becomes part of a mentoring relationship. There should not be a system of formally assigned mentors. Informal selection should remain.

7. There needs to be more formal instruction on leadership skills pertaining to interpersonal influence in the courses completed by entry level/junior leaders.

8. Developing leaders in the unit is often about preparing them for the next position by giving them some responsibilities and letting them fill-in on a temporary basis at the next higher level.

9. Formal counseling is overrated. If day-to-day coaching and feedback is being done, there is not much developmental need or gain from formal counseling.

10. Leaders need to know each subordinate leader as a whole person and as well as possible if the senior leader is to guide the subordinate's development as a leader.

11. Commanders and senior leaders need to designate and protect time for unit leader development.

12. Subordinate leaders need to be actively involved in developing themselves and each other. They need to be engaged in developmental activities and an active exchange of professional development information, discoveries, opinions, etc.

13. Leaders need to learn how to observe subordinate leaders and give developmental feedback.

14. Senior leaders should work with subordinate leaders to establish goals, expectations, and standards up front.

15. Use multiple methods of assessment and feedback. This results in a fuller and more accurate picture of the individual and better developmental influence.

16. Senior leaders and their subordinate leaders should work together to craft and use developmental action plans for the subordinate's development.

17. Senior leaders must model a high degree and a high emphasis on professional self-development.

18. The unit must have a culture that values (encourages and rewards) professional development.

19. Look for ways to use daily activities and training as developmental vehicles/experiences for junior leaders (imbedded leader development).

20. Do not make the Leader's Guide big and unwieldy, and do not make it directive in nature.

21. Self-knowledge is an important part of a leader's development. Tools for gaining self-knowledge should be provided to developing leaders.

22. Commanders and senior leaders should support education and development opportunities (e.g. formal training, college degrees, etc.) for their subordinate leaders.

23. Career path management is important. Individuals should understand and actively manage their career own paths, and supervisors should consider and manage the career paths of their subordinates to gain breadth of development.

24. Commanders and other senior leaders should influence their developing subordinate leaders to want to take challenging assignments. Commanders and senior leaders need to create a hunger for growth and learning among their subordinate leaders. Provide easy access to resources and make them appealing. Make sure people are aware, know how to use, and understand the value of the resources.

Appendix B: Sample Unit Leader Development Memorandum

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DEPARTMENT OF THE ARMY
HEADQUARTERS, 4-25 ARMOR BATTALION
FORT HOOD, TEXAS XXXXX-XXXX

CDR4-25AR (MARKS NUMBER)   30 October 1998

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: BATTALION LEADERSHIP DEVELOPMENT PROGRAM

1. REFERENCES.

   a. FM 25-100, Nov 88, Training the Force.

   b. FM 25-101, Sep 90, Battle Focused Training.

   c. FM 22-100, 10 Apr 97, Army Leadership (Initial Draft).

   d. DA PAM 350-58, 13 Oct 94, Leader Development for America's Army.

   e. Leadership for Total Army Quality.

2. PURPOSE.   General Reimer, the Army Chief of Staff, said that, identifying and developing the future leaders of America's Army are commanders' most important functions. The greatest legacy we have is how well we've trained our subordinates." It is our duty, as well as our responsibility, to develop leaders in this battalion to their fullest potential. This memorandum implements the 4-25 Armor Battalion Leadership Development Program (LDP). The battalion's LDP is applicable to individual leaders, units and the staff. The LDP consists of three phases: Reception/Integration, Sustainment, and Outprocessing.

3. ASSESSMENT.   The CSM and I have conducted a thorough assessment of the current status of our battalion in order to provide appropriate focus, goals, objectives and programs. We have based this assessment on the results of a review of the battalion's mission, METL, equipment, resources, and schedule for the next 24 months. I have also conducted personal interviews with battalion leaders and soldiers at all levels.

4. FOCUS. The focus of our LDP is to train our leaders at all levels to accomplish our wartime mission. Our battalion mission statement follows: On order, deploy to designated area of operation draw equipment, and move to and occupy assembly areas.

Be prepared to execute forward passage of lines and, on order, attack in zone to destroy enemy forces or defend in sector.

4. GOALS.

    a. Develop leaders of character and competence.

    b. Promote *esprit de corps*.

    c. Provide a legacy of quality leadership.

5. OBJECTIVES.

   A. Ensure each leader understands, and is a functioning part of the battalion's combat systems.

   B. Ensure each leader can execute METL leader tasks to standard.

   C. Process each leader in accordance with the reception and integration program.

   D. Develop confident leaders with adequate communication skills.

   E. Ensure each leader earns the "Cold Steel" certificate and battalion coin.

   F. Ensure each officer becomes MQS qualified.

   G. Develop leaders who are proud members of this battalion and visibly exhibit esprit de corps in their words and actions.

   H. Provide dedicated time for open, honest communication throughout the chain of command.

6. RECEPTION AND INTEGRATION- The battalion commander determines subordinate officers' developmental needs and begins unit-related development training during the reception and integration phase. The CSM and 1SGs are responsible for reception and integration of NCOs.

   a. Reception and Integration begins when the S1 notifies the Bn Cdr/CSM that the division has assigned an NCO or officer to the battalion. The S1 will provide an estimated arrival date for the incoming soldier. The S1 then assigns a sponsor and forwards a welcome packet to the incoming soldier. The welcome packet will contain the following:

      (1) Letter from the Bn Cdr and CSM.

(2) Letter from the sponsor.

(3) Condensed version of unit history.

(4) Battalion LDP.

(5) Battalion Policy Letters.

(6) ACS welcome packet with information on local area, schools, housing and a 90 Day Calendar.

b. As soon as possible before the soldier arrives to the unit the Bn Cdr/CSM will review his records and discuss assignment with S1. Bn Cdr/CSM interview the soldier when he arrives to the unit and they discuss as a minimum the following topics.

(1) Status of the soldier's family and division-level inprocessing.

(2) Previous experience and assignments.

(3) The LDP.

(4) Present and future assignments within the battalion.

(5) Highlights of upcoming training events.

c. The soldier's sponsor will assist him with inprocessing according to the battalion checklist. The sponsor will also accompany the soldier during the following events: tour of unit facilities, tour of division area, information briefings from each battalion staff section.

7. SUSTAINMENT

a. Individual Requirements. Good leadership begins with a solid base of individual leader skills. The LDP individual requirements will compliment the institutional training that each leader receives prior to his arrival to the battalion.

(1) Junior Leader Certification Program. Junior leaders include lieutenants, WO1s, and NCOs in the grade E6 and below.

(a) CTT. It is very important that leaders at all levels have a basic understanding of the skills required of the soldiers that work for them. Most lieutenants have never been enlisted, and many warrant officers attained those ranks without first being a very senior enlisted soldier. For this reason, I require all lieutenants and junior warrant officers to complete CTT to skill level III standard. They will complete the

training and testing with the soldiers in their company. This has two benefits. The first is that the junior officer will have a chance to evaluate (first-hand) the quality of the training for CTT. Secondly, it will insure uniformity in the standards held in testing for officers and enlisted alike. If perception is reality, it is important that soldiers see officers perform to the same standards required of them. NCOs will complete CTT to the skill level commensurate with their rank.

(b) Training Event Briefing. The training event briefing is specifically designed to increase the junior leaders' briefing skills and to insure they are adequately prepared to conduct training. Battalion and company events such as weapons qualification ranges, CTT, EIB, and the NBC chamber, are excellent opportunities for the company leadership to receive direct feedback regarding their ability to plan, organize and conduct training. The S3 will assign responsibility for the conduct of battalion training events to each company on a rotational basis. Each junior leader will prepare a formal briefing for the first major training event they conduct in this battalion. The junior leader will first give this briefing to the company commander. The responsible company will then brief the battalion commander, CSM, and battalion staff on their proposed method and technique to accomplish their assigned task. These briefings will provide the junior NCO and officer direct exposure to the battalion leadership and encourage mentoring. Furthermore, the company leadership will gain an appreciation for the critical role the staff plays in resourcing and supporting training events.

(c) Company Officer Professional Development (OPD). Each junior leader will conduct a company level OPD class. The company commander will assign the topic and define the task, condition and standard for the class. The company commander or 1SG will personally evaluate the class, and conduct an AAR with the junior leader afterwards. If the task is not completed to standard, the company commander will assign another topic and reevaluate the individual. This requirement will be considered complete when task, condition, and standard are met as determined by the company commander or 1SG.

(d) Rite of Passage Ceremony. I will personally recognize each leader once they complete the certification program. I will present them a battalion coin and a distinctive "NON-ROOKIE" certificate in front of a battalion formation. This ceremony is a testimony to the junior leaders' willingness to participate in the LDP and is the first step in their development journey. The receipt of the coin and certificate signifies the official recognition of their status as a leader in good standing within the battalion.

(2) MQS Proficiency for all Officers. – While the Military Qualification System (MQS) is no longer a requirement in the Army, I still view it as a valuable tool for all officers in maintaining proficiency in skills required of their grade. I have personally reviewed the MQS manuals for majors, captains and lieutenants, and have selected specific tasks for each rank that I feel are important for the officers in this command to be proficient in. The S3 maintains the selected list for each rank, as well as the MQS manuals. The MQS requirements are as follows and they apply to every lieutenant, captain, and major in this command.

(a) All officers will complete the selected MQS tasks for their rank.

(b) These tasks will be completed within 180 days after their arrival to the unit.

(c) The rater will insure that the officer completes each task to standard.

(3) SDO for all Company Grade Officers. - All company grade officers will be placed on the Staff Duty Roster, and perform this duty when it is their turn. This is a great tool for the development of young officers, as they are "in charge" while they perform this duty. This will assist them in exercising sound judgment and help develop the decision-making process.

(4) SDNCO for all Staff Sergeants and Sergeants First Class. All Staff Sergeants and Sergeants First Class will be placed on the SDNCO roster. This is also a good development tool for the NCO for the same reasons stated above.

(5) Self-Development Program. The battalion has developed a packet that will assist each officer, warrant and noncommissioned officer in "mapping" out his career. These packets may be obtained in the S3 office. This is not an evaluated requirement. However, I encourage each officer to complete it. This is an excellent opportunity to take an honest, candid look at yourselves, establish your priorities, set your goals, and tailor a path toward successful completion of your goals. I charge each leader to discuss short-term, near-term, and long-term goal setting with their subordinate officers, warrants, and noncommissioned officers. Success and goal achievement rarely just happens. If you know where you want to go, it is much easier to identify the road that will get you there. I expect this program to supplement the Junior Officer Development Counseling and the Developmental Action Program. It does not replace the performance counseling as outlined in Battalion Policy Letter #3. Again, while not an evaluated requirement, I encourage all leaders to complete the packet. I am available to discuss goal setting with anyone who desires it.

(6) NCO Professional Development. The CSM will ultimately oversee the NCODP in the battalion. He will establish how often NCODP will be conducted at the company level. NCODP will be conducted at the Battalion level once a month.

(7) Professional Readings. All officers will participate in the professional readings program. Each officer will read two books a year from the professional readings book list, which is maintained in the S-3 office. Each officer will conduct an OPD at the company level once a year on one of the two books they read. The points of focus will be leadership principles and lessons learned from the book. This will allow a majority of officers to benefit from a variety of books without an inordinate reading requirement for any one officer.

(8) Unit History Exam. - A functional knowledge of the history, lineage, and honors of a unit fosters *esprit de corps* and pride in the unit. Much like the grandfather passing war stories to his grandson, it is also a way to insure that history is not "lost." Each officer will become familiar with our unit history and, within 30 days after their arrival to the unit, pass a unit history exam.

   b. Collective Events. Individual leader skills are critical. However, the battalion will fight as a team. To develop teamwork the LDP collective requirements will focus on staff and logistics functions, collective training, maintenance, and formal social events.

   (1) LOGEX. The battalion will conduct a "Beans and Bullets" Situational Logistics Exercise every quarter. These exercises will stress support and logistics SOPs and will vary in expanse according to the deployment schedule. At a minimum the exercise will consist of a walk-through rehearsal led and coordinated by the S3 and S4, and attended by all key leaders in the battalion beginning with the squad leaders.

   (2) Staff Exercises. The battalion executive officer will conduct a Staff Training Exercise every quarter to standardize and coordinate staff operations and to exercise the military decision making process.

   (3) Battalion and Brigade Dining In. The Dining In is a great tradition that fosters camaraderie, reinforces unit lineage and history, and builds *esprit de corps*. I expect all officers and NCOs in positions of platoon sergeant and above to participate in the annual brigade and battalion Dining In.

   (4) METL NCOPD/OPD. Each month the battalion will conduct a professional development class. The CSM will preside over the NCOPD and the battalion commander will preside over the OPD. The S3 will select the class topic based on the battalion METL and assign responsibility for the conduct of the class to the companies on a rotational basis. The emphasis will be on leader tasks associated with the battalion METL.

   (5) Maintenance Briefing. Every other week platoon leaders will brief the status of their assigned equipment to the battalion commander. The briefing will include the status of vehicles, weapons systems and ground support equipment. The leaders present for the briefing will include the battalion executive officer, the maintenance officer, and the company chain of command down to track commander. This is a forum intended specifically to develop the platoon leaders' composure, briefing skills, and maintenance management abilities. As such, it is solely the platoon leaders' responsibility to present the equipment status to the battalion commander.   Although the platoon leader briefs on his own, the success of his performance depends on a collective effort. The company chain of command can assist the platoon leader in his preparation for the briefing. Furthermore, I expect the battalion's maintenance personnel to provide their full cooperation.

c. Program Assessment and Feedback. The battalion commander's events are excellent opportunities to provide feedback regarding our LDP in an informal environment. Furthermore, individuals may forward their concerns or suggestions regarding the LDP through their chain of command to the commander or CSM at any time. However, I believe that formal constructive criticism is a healthy and fundamental part of a successful program. Because it is so important, I want to dedicate specific forums in which to review the effectiveness and validity of our LDP.

(1) Every leader who supervises subordinate leaders will incorporate a leader assessment, as measured against the requirements of this LDP, into regularly scheduled performance counseling. For most, this will be done at the same time as NCOER or OER counseling. The counselor will identify, with the subordinate leader, those areas that are deficient, need improvement, or are of special interest. The supervisor and subordinate will develop a list of goals and a timeline for completion. They will evaluate the success in meeting these goals at the next counseling session.

(2) Quarterly Training Briefings. Company commanders will provide LDP feedback as part of their QTB. This will include LDP areas which the company commander feels he needs special focus in his unit, objectives or programs that he feels should be added to or deleted from the LDP, and issues concerning success or failure of his subordinate leaders to achieve the objectives of the LDP. Company commanders and the battalion staff have primary responsibility for identifying specific certification and training requirements and tracking completion by leaders within the battalion.

(3) Company Training Meetings. All company commanders will incorporate LDP assessment as a part of their weekly training meetings in order to obtain feedback from their NCOs and platoon leaders concerning the LDP and related issues.

d. Battalion Commander's Events. The purpose of this portion of the LDP is to provide the battalion commander, in his capacity as "mentor," the ability to directly influence the leader development program. It complements the other portions of the LDP in scope and subjects. It is the program that the commander uses to guide and assess the self-development of the unit's leaders. The program's secondary benefit is to be a conduit of command information and a feedback mechanism in the unit. The program consists of PT runs, brown bag lunches, NCO breakfasts, Green Tab Sessions and counseling. It is an opportunity for leaders to be candid about leader's business. Each segment of the program is outlined below:

(1) PT Runs. The commander will run with select groups on Thursday mornings. Each run has a final objective and the speed of the run allows for conversation. Examples of final objectives are: the motor pool, a range complex, supply warehouse, etc.. The purpose of these runs is to discuss a problem area, and overall leader learning. The runs are also a forum for frank conversation among leaders. Participants for the runs are outlined below. The runs are mandatory unless the leaders are involved in other training. Planned company training takes priority over attendance at the run. The runs schedule follows:

(a) First Thursday of month: 1SGs and Company Commander's.

(b) Second Thursday of month: LTs and Warrant Officers.

(c) Third Thursday of every other month: E6s and E7s.

(d) Third Thursday of alternate month: E-5s.

(2) Brown Bag Lunches. Brown bag lunches are informal sessions designed for the discussion of subjects important to the company commanders and the command group. The lunch will have a central topic for 15 minutes and then open conversation. As always, company training takes priority.   However, leaders will notify the XO if they will be absent. Leaders will not send representatives in their absence. Lunches are from 1145-1230 on every other Monday. Audience is company commanders, battalion commander, CSM and XO.

(3) Green Tab Sessions. Green Tab Sessions are an opportunity for all the leaders of the battalion to get together to discuss leader issues and conduct leader development. These sessions do not replace Officer or NCO Professional Development but enhance those METL related programs. Green Tab Sessions deal with administrative issues and policies. The sessions are for E-5s and up in a leadership position. Companies will sit together. There will be a guest speaker or a class for the first 50 minutes. Subjects will be such things as Sexual Harassment, Evaluation Reports, ADAPC, BOSS issues, etc.. The session will then break and the battalion commander and S-3 will discuss the next month's training and policy issues for approximately 30 minutes. After that, the floor is open for any other issues for an additional 20 minutes. The S1 is responsible for distributing an agenda one week prior to the session. The S1 will also send out a Green Tab memorandum within three days after the session which summarizes the key points of discussion. These sessions will take place at 1000 hours on paydays. Companies are to leave one officer and three NCOs in charge of the company during the meeting. Company commanders will use a fall-out-one drill to train upcoming leaders in their absence. The CSM is responsible for selecting a policy issue for discussion.

(4) NCO Breakfasts. The CSM will schedule a NCO Breakfast at least every quarter, preferably every month, with 1SGs and PLT SGTs. The battalion commander and XO will attend the breakfast and will invite open discussion with the NCOs. The officers will then leave so the NCOs can discuss NCO business.

(5) Counseling.   The battalion commander will conduct formal counseling for all officers and NCOs that he rates and senior rates. This is performance counseling as outlined in FM 22-100 and will be conducted in accordance with Battalion Policy Letter #3. Counseling will take place in the respective officer's work area, not the battalion commander's office. Formal OER counseling will be the exception. Officers should be prepared to discuss past performance and future goals and objectives. Officers should also be prepared to discuss their self development program and unit goals. Company

commanders should arrange counseling sessions with the battalion commander through the adjutant. These sessions should fit their company training schedule and last 15 minutes per officer. The counseling schedule follows:

  (a) Staff Officers and HHC: January, April, July, October.

  (b) Alpha & Charlie Companies: February, May, August, November.

  (c) Bravo & Delta Companies: March, June, September, December.

 (6) The true strength in the battalion commander's portion of the LDP is that it is an open forum for leaders to discuss leader business. Each segment has time allotted for open discussion and time for directed discussion. Each leader should prepare for the sessions so as to contribute to the discussion.

5. OUTPROCESSING. It is vitally important to capture the feelings and attitudes of our leaders as they depart this battalion for subsequent assignments. Their candid feedback regarding their tour in this unit is an invaluable measure of the success of the LDP. My intent is to provide an atmosphere of non-attribution in which the battalion commander and CSM can receive, through face-to-face interaction, our leaders' assessment of the effectiveness of the LDP.

 a. Formal Evaluation. To facilitate a low threat environment each leader will have received his final OER/NCOER prior to the final interview.

 b. Final Interview. The battalion commander will interview outgoing officers. The CSM will interview outgoing NCOs. The S1 will schedule the interviews.

 c. Command Climate Survey. Each departing leader will complete a command climate survey. The S1 will forward the surveys to the brigade G1 after the soldier has departed the battalion. The G1 will forward the results of the survey to the battalion commander.

SUMMARY. A key asset in any organization is its leadership and this battalion is no different. Leaders will leave here to go to other places and other units. We must make the effort to train our leaders here and expand their potential. Furthermore, we must develop our leaders because they are our legacy and the future of our army.

      GEORGE S. PATTON
      LTC, AR
      Commanding

DISTRIBUTION: A

NOTE. This LDP is based on the products of the following officers:

Major Neil Frey
Major Tracy McLean
Major Dennis Linton
Major Zvonko Atanasovski
Major Keith Price
Major Stan Lewis
Major Greg Walters

Appendix C: FORSCOM Leader Development Program (LDP) Feedback Guide

Appendix C: FORSCOM Leader Development Program (LDP) Feedback Guide

FORSCOM LEADERSHIP DEVELOPMENT PROGRAM
LEADERSHIP ACTIONS FEEDBACK GUIDE
(For Use By Observer/Controllers)

V.02.1.1

ARMY DEFINITION OF LEADERSHIP
(FM 22-100, August 1999)

"Leadership is influencing people -- by providing purpose, direction, and motivation -- while operating to accomplish the mission and while improving the organization."

ARMY LEADERSHIP DOCTRINE

BE   KNOW   DO

Leaders of Character and Competence ...

VALUES	ATTRIBUTES "BE"	SKILLS "KNOW"
Loyalty		
Duty	Mental	Interpersonal
Respect		
Selfless Service	Physical	Conceptual
Honor		Technical
Integrity		
Personal Courage	Emotional	Tactical

... Act to achieve excellence by developing a force that can fight and win the nation's wars and serve the common defense of the United States.

ACTIONS "DO"

INFLUENCING	OPERATING	IMPROVING
Communicating	Planning	Developing
Decision-Making	Executing	Building
Motivating	Assessing	Learning

FLDP LEADERSHIP ACTIONS FEEDBACK GUIDE   (Side 2)   Discussion [✓]

INFLUENCING

Communicating
- Issued Warning Order; reissued as required. [ ]
- Restated mission; issued timely, organized OPORD. [ ]
- Communicated - clearly & concisely - intent and concept to subordinates (includes Task & Purpose). [ ]
- Utilized brief-backs, rehearsals, feedback to ensure thorough understanding of instructions. [ ]
- Fostered a spirit of Candor ("Tell it like it is"). [ ]

Decision-Making
- Gathered info/estimates necessary to support decision. [ ]
- Synthesized & analyzed info; focused on critical issues. [ ]
- Made decision based on sound judgment, logical analysis. [ ]
- Announced timely decision clearly & concisely [ ]

Motivating
- Maintained climate which encouraged high performance. [ ]
- Demonstrated concern for safety & protection of subordinates. [ ]
- Provided encouragement, support, direction, & correction. [ ]
- Kept unit informed; provided timely feedback. [ ]

OPERATING

Planning
- Specified additional info requirements. [ ]
- Planned, allocated, & managed TIME. [ ]
- Evaluated info (considered source, accuracy, relevance). [ ]
- Coordinated employment of ALL assets (organic/non-organic). [ ]
- Set clear priorities; established controls/triggers. [ ]

Executing
- Followed plan; adjusted when/where necessary; clearly announced adjustments. [ ]
- Provided command/leader presence ("right time, right place"). [ ]
- Adjusted rapidly to obstacles, difficulties, unforeseen events. [ ]
- Guided/taught/coached subordinates during execution. [ ]

Assessing
- Aware of current status of key items; sought additional required info. [ ]
- Assessed current status against desired end state. [ ]
- Reported status & assessment to HHQ in timely manner. [ ]

IMPROVING

Developing
- Communicated expectations; established high standards. [ ]
- Established coaching/teaching/mentoring as an ongoing process. [ ]
- Knew strengths & weaknesses of subordinates. [ ]
- Set the example. [ ]

Building
- Developed & reinforced sense of teamwork. [ ]
- Established conditions for demonstration of initiative by subordinates. [ ]

Learning
- Sought ways to improve; translated previous experience into action. [ ]
- Fostered a learning climate; established functional feedback system. [ ]

Appendix D: Leader Development Action Plan

Appendix D: Leader Development Action Plan (LDAP) (FM 7-1) phases, key elements, and associated commander's handbook for unit leader development methods (from the *Commander's Handbook for Unit Leader Development*, 2007, p. 45)

Set the Conditions		
Key Elements of LDAP	**Phases of LDAP**	**Commander's Handbook Methods**
Record review	**Reception & Integration**	Sharpen leader selection
Initial Review		Purpose, opportunity, roles & responsibilities, create challenging jobs
In-process / introduction		Know your subordinate leaders
Unit certification program		Leverage role models, train
Identify strengths & weaknesses		Systematic observation and assessment, feedback and counseling

Complete unit certification	**Basic Competency Training**	Reflect, study, leverage role models, train
Meet duty standards		Leadership assessment, systematic observation and assessment
Establish relationships		Leverage role models; foster mentoring
Prioritize training needs		Systematic observation and assessment, create challenging job experiences, train
Identify additional skills		Plan leader succession
Draft developmental needs		Feedback and counseling

Develop sustainment plan	**Leader Development & Training Sustainment**	Leadership assessment
Develop training plan		Leverage role model, study, train
Plan for future development		Plan leader succession and create challenging job experience, train
Create self-development program		Feedback and counseling, reflect, foster mentoring, study
Evaluate Leader Development		